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ABSTRACT

One of a series of studies related to the Delphi research project: "Policy Instruments for Higher Education in the Western Europe of the Future", this paper presents interviews by a Dutch researcher with 15 authorities on U.S. higher education and the written contributions of two other experts: M. Peterson, E. Hines, M. Gade, G. Rhoades, A. McGuinness, F. Volkwein, E. Boyer, R. Geiger, T. Manning, P. Smith, T. Marchese, P. Hutchings, D. Bok, J. Folger, A. Tomlinson, C. Kerr, and E. El Khawas. Each of the interviews touches on some or all of the following topics: the present situation and expectations of the U.S. higher education system; specific characteristics of higher education in the U.S. in particular autonomy, multiplicity of funding sources, diversity, competition and accessibility; the federal government's role; the state government's role; methods for assessing teaching quality; accessibility of higher education; institutional behavior, in particular adaptability and responsiveness to new social demands; the role of faculty; the role of institutional mission statements; and the importance of public sector education. (JB)

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SEVENTEEN AUTHORITIES ON U.S. HIGHER EDUCATION

ED333848

facts, analysis and future perspectives

Interview summaries.

Olaf C. mc-Daniël,
Zoetermeer 1991.

Published in the series of studies related to the Delphi research project: "Policy Instruments for Higher Education in the Western-Europe of the Future".

Correspondence:
Olaf C. mc-Daniël
Delphi Study
Postbus 2500 G229/353
2700 LZ Zoetermeer
The Netherlands
Tel. ** 31 - 79 - 533667
Fax. ** 31 - 79 - 512651

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INTRODUCTION

American higher education continues to be a fascinating topic of study for Europeans. One remarkable accomplishment of higher education in the United States is it's ability to combine the concept of a limited number of elite institutions on the one hand and a massive enrollment on the other. Furthermore the conditions and dynamics in the US vary considerably from the European setting. The division of power between the federal and state government results in 50 considerably different higher education systems which is of course a paradise for comparative analysis and new ideas.

One component of the research project "Policy Instruments for Higher Education in the Europe of the Future", was my visit to the United States from April to July 1990. During this time I had a number of interviews with acknowledged experts in the field. The interviews were not strictly limited to the basic questions of the research project, but also included a picture of US higher education entering the new decade of the nineties.

Twenty interviews were scheduled but due to circumstances beyond my control, three had to be cancelled and two were written contributions. The remaining fifteen interviews were taped and written summaries were sent to the participants for comments. The interview summaries are organized into this publication.
This material is, in combination with a literature study, analyzed in the publication: "Fast Forward with Higher Education in the United Education in the United States. In Search of the Dynamics of Higher Education."

I would like to thank the persons who I interviewed for their time and enthusiasm during this exchange of ideas. This enriching experience has been helpful in understanding the complexity of the US higher education system(s).

Being a Dutchman (despite the English name), the English language is only one of the four basic languages that inhabitants of my small country are supposed to learn. Therefore, I am grateful to Dr Tomlinson who assisted me in editing the draft interview summaries. For the final editing however, I am responsible for any possible inconsistencies in the English/American language.

Finally, I would like to express my acknowledgments to the Directorate General of Higher Education and Scientific Research of the Ministry of Education and Science in the Netherlands who provided the facilities required for this study.

Olaf mc-Daniel.
Leiderdorp, January 1991.

SUMMARY OF THE INTERVIEW WITH DR MARVIN PETERSON

CENTER FOR THE STUDY OF HIGHER AND POST SECONDARY EDUCATION
UNIVERSITY OF MICHIGAN
ANN ARBOR, MICHIGAN, MAY 9, 1990

Interview Summary 01

STRONG AND WEAK SIDES OF THE HIGHER EDUCATION SYSTEM

The strongest side in the U.S. higher education lies in deep transition of autonomy from the federal government i.e. education is left to the states. This autonomy is combined with the strong belief that education should be available for everybody.

Higher education has contributed significantly to society and will/should continue to do so in the future. It helped us to address our serious and threatening national problems and has appeared to be responsive to changing needs.

In some cases when the response of higher education institutions was slow or absent institutions were not fulfilling their tasks in an appropriate way, we responded by:

a founding new institutions (examples: M.I.T., military academics and the land-grant colleges);
b the support for new part to the system by government (ex: the community colleges).

The system is very responsive, but this does not imply necessarily that the individual institutions are. There is always a gap between existing institutions where new ones spring up and then become the bridge to innovations within existing institutions

The innovative attitude is the result of:

- the market orientation
- the autonomy, that provides the flexibility to create new corporations of institutions

Higher education in the U.S. has explicitly done well at:

a offering high quality education for the very able student
b supporting the research at institutions; it took two world wars for the federal government to decide that universities were good agents for research. Since the post-war period federal grants for research have been available.
c opening up access for a large percentage of the population so that virtually everyone who wants to benefit from higher education can do so. The introduction of the community college system was a major factor in accomplishing this.

In the past some states advocated free public higher education for every capable citizen. The best example was California with its Masterplan. Over the years with the introduction of the government student aid programs, the attention shifted to an alternative way of creating access to education.

Currently even foreigners are taking advantage of the flexible conditions for the establishment of institutions. Corporations and higher education institutions from Japan are investing in the U.S. to create number of Japanese universities here.

WEAKNESS

Although the system has a large number of positive aspects, a number of weaknesses appear as well.

1 **Minorities and low income groups.**
Not providing access to minorities and/or low income groups in the U.S. is one of the greatest weaknesses. This is not only a financial problem, but it also reflects the cultural dominance of the groups that make it to the universities now.

2 **Lack of global perspective.**
Higher education is just now discovering that internationalization is an imposing challenge that needs to be addressed. For the future it will not be sufficient to continue the current trend to send a few students to foreign countries. It will be necessary to expand our knowledge regarding foreign cultures and languages. In that respect our skills are way behind the level in most European countries. Higher education in the U.S. has been locally, regionally, or at best nationally oriented.

3 **Opportunism and elitism.**
There is a sense of opportunism and elitism in the behavior in institutions in U.S. higher education. A good example again is internationalization.

When looking for foreign institutions with whom to cooperate in Europe for instance, the best known institutions overseas have priority. It is of little importance that there are other, perhaps more interesting institutions. The one that is known is chosen.

Secondly, the responsiveness of the institutions is often directly related to the availability of external sources. This sometimes leads to rapid swings resulting from the political scenes. A number of years ago initiatives supporting the study of Iranian culture were heavily federally supported and Iran was flooded with U.S. researchers. When the political relations seriously changed, the grants dried up and the expertise vanished.

CHALLENGES

Major challenges for the future are:

1 The global perspective.

2 Improvement of minority participation.

3 Determining adequate skills for survival in international competition. We need better trained manpower ready to respond to future challenges in a global market in which the U.S. is a less of the dominant figure.
4 Strategies for response. Priorities come and go, needs change.

The political arena surrounding higher education is a major source of new ideas, points of interest. In the past, money was poured into:
- libraries in the 1950's,
- research laboratories after the Russian launch Sputnik,
- money for the development of new areas of knowledge,
- student loans when groups in society were failing to enter higher education.

The money was granted as either investment money to set up an infra-structure or an incentives to respond changing needs. When the priorities change, the funded under a previous priority program either becomes part of the system or it falls behind.

Also, in a number of state universities, the notion of need for some planning for the achievement of present and future policy goals is emerging. The University of Michigan now has formulated three broad mandates. It plans to become:

a a multi-cultural institution
b an institution for 21st Century in education and technology
c internationally oriented institution

In order to be able to meet future needs, $40 million was invested in a fiber optics communication system that will facilitate access to coming communication and data-transport inventions.

This institutional planning strategy emphasizing themes and investments or incentives is between planning oriented and laissez- faire strategies as opposed to directing the institution, the philosophy is to guide the various departments in the direction desired.

4 **Supply and Demand of Faculty**
Many faculty will retire in this decade while the supply of new talented faculty is limited due to a decline in interest in pursuing academic careers. The problem is both financial (competition with corporate enterprises in some but not all disciplines) and cultural (the loss of esteem of universities has its effect on the desire to start such a career). Unfortunately this threatening issue is not sufficiently understood by the present faculty. Not enough effort is invested to convince students (at the high school or college level) of the challenges of an academic career involving the generation and transfer of knowledge.

FEDERAL ROLE IN HIGHER EDUCATION

The federal governments primary role is the distribution of research money and student aid. Furthermore the federal government provides (statistical) data as an information service.

In addition to federal legislation and court decisions there is substantial influence on higher education. This is most influential on administration and management. Higher education institutions have been declared to be "commercial enterprises" and therefore have to operate consistent with interstate commerce legislation. This implies that higher education institutions are submitted to:

- legislation and juris prudence of labor retention arrangements (collective bargaining)
- legislation and jurisdiction on other employment issues, such as affirmative action
- annual publication of salaries

Furthermore the federal government has played an increasingly important role in the funding of higher education through the funding of research and supporting of priority areas such as the participation of minorities and low income students. The influence of public, but also on private, higher education has increased through these mechanisms.

More direct influence is embodied in the state policy. The states have prime influence on public higher education. The fifty states all have different higher education policies and traditions. It can vary from Hawaii where the higher education institutions are run from a cabinet level office within the governor's office to the a state such as Michigan, where there is no state-wide coordinating agency.

ACCOUNTABILITY

There have been calls for accountability since the 1950's, but the content of what the government was asking institutions to be accountable for differed. In the 50's the call was for better data institutions asked for more money for "increasing student enrollment and buildings, but we don't even know how well utilized our facilities were". In the 60's the attention was focused on the student protests ("get your act together, students should be learning instead of rioting"). The 70's was the decade of attention for improved efficiency and management. In the 80's the call was for more effectiveness and improved institutional planning.

The notions of quality and quality assessment went through similar patterns. First the discussion emphasized resources (e.g. how much money do you need to run an institution) as an input variable. Later it shifted to reputation (how good is the faculty, how good are your students) and expert judgments. Neither of these instruments have been convincingly successful. The most recent development is the attention to both qualitative and quantitative output data (the number of graduates, how many of graduates get a job, or more sophisticated measures or value added notions).
The reality is that when states have gone from one accountability trend to another. The political arena is such that it is constantly shifting. Whatever information they get, it will never be adequate for the state to really understand (or govern) the peculiarities of higher education. The quest for information therefore will be merely directed to what they perceive to be the current major issue.

Accountability is and will be a permanent fixture in the relationship between higher education and its major public agency. An interesting accountability for further study will be "impact of higher education on student and society". In the long run politicians expect to get a pay-off on their investments in higher education. In particular they will be interested in results in terms of a strong economy, an improvement in the quality of life or answers to the question: is the state attracting more international corporations?

QUALITY

The only really effective approach to improving teaching quality is to convince faculty of their responsibilities toward the students. The issue is, fortunately, drawing attention. At national conferences on higher education; which in the past were always dominated by financial, managerial and governance issues, the quality of education is on the agenda. These issues are finally being addressed.

The discussion is focused on a number of topics of including the eternal battle between general education (leading to broad intellectual competencies such as problem solving, integrative thinking versus the disciplinary specialization. Another is the rethinking of the concept of quality. Would probably always do considerably better than most other students. What is it that makes good students learn even better?

INSTITUTIONAL MISSIONS

The importance of the formulation of institutional statements is heavily overestimated. Institutional missions are usable as implicit values rather than explicit statements. What can a mission be more than a collective of institutional performances. Few people will be aware of the mission of their institution. In practical terms it serves a purpose for the contact between the university and the state. It does not and never will in any way direct the behavior of faculty.

SUMMARY OF THE INTERVIEW WITH DR EDWARD R. HINES

CENTER FOR HIGHER EDUCATION
ILLINOIS STATE UNIVERSITY
NORMAL, ILLINOIS, MAY 10/11, 1990.

Interview summary 02

STRENGTHS IN US HIGHER EDUCATION

The strengths of the US higher education are numerous. A distinctive feature of US higher education which was pointed out by the 1982 report of the Carnegie Foundation is access and opportunity for students. Higher education opportunities come close to universal access, a concept of public service which results in credentialling. In virtually every geo-political unit in the US a college has been founded. In a society that stresses credentialling, access and opportunity are vital phenomena. But the higher education supply itself does not guarantee quality and productivity. The tension between access and selectivity has been a major political issue over the last 30 years. In practice, this system results in a mixed performance including institutions with "give-away-degrees", representing shamefully low exit standards.

By European standards, it is shocking that higher education institutions having few performance standards exist and attract large numbers of students. Centrally approved standards give at least some notion of an acceptable qualitative minimum on the European side of the ocean. The diversity in the US system and the fact that only a small section of the population has any notion of the different quality standards among institutions and departments, implies that the vast majority of the public is not well informed about higher education quality. In fact, a large section of the population does not aspire to attend an Ivy league institution or an institution with a national reputation. Credentialling is the striving motive. Other main concerns in the college selection patterns are cost and closeness to home. Institutions which meet these needs appeal more to the students sense of reality and familiarity.

The credentialling of the US society has been well described and analyzed by Freeman in his book, "The Over-Educated American". The US post-secondary education system strives for an over-educated society which is highly credentialized, but not necessarily educated. This choice automatically builds in the seeds of discontent about the quality of institutions.

Consumer awareness and the philosophy of giving students greater choice were major concepts behind the introduction of the Pell-Grant and the Stafford-Loan programs. The functioning of the market supposes a notion of the quality of institutions reflecting judgments about undergraduate education and student output. However, insufficient information on institutional quality is available presently. In reality quality is associated with faculty reputation related to research and student input as measured by admission requirements. Both give no information whatsoever on the quality of the undergraduate level.

After an Illinois State Commission report was published a few months ago, the legislators decided not to implement major structural changes in the state higher education system, but to concentrate on the issues of productivity and accountability. Output oriented measures; such as, faculty productivity, graduation rates, retention rates, attrition rates, turnover, research and scholarly productivity, service contribution, library holdings and other indexes are now or will be available to monitor institutional performance. But it is just a start. The interest for the issues related to the contribution of higher education to societal well-being and economic growth has risen over the past decade. Publications like A Nation at Risk created a public awareness that (higher) education is important and could do better. However, higher education has not been able to sell itself to the larger public. It has not yet found an effective and understandable way of communicating with a larger public, which of course influences the possibilities of receiving public support for increasing public grants.

Other strong features in the US higher education system are the diversity in the system, superior intellectual and academic strength in prestigious institutions and the externalities of contributions to public welfare and culture.

MINORITIES

Quality in too many higher education institutions in the US is sacrificed for the survival of institutions resulting in a devalued college degree. This problem is especially reflected in attendance of minorities. For these groups there are more limited chances and higher education credentials will not always contribute to a better life. In an extreme scenario — what is the value of a college degree if ultimately one ends up with employment with low esteem and wages or even being unemployed? Why make the effort to go to college when the costs result in great debt? Insufficient improvement of opportunities in society is one of the causes of the stagnation in minority enrollment. In spite of special efforts and programs, the enrollment of black students in particular has even declined.

OVERBUILT

Higher education in many states is heavily overbuilt. Too few people responsible are willing to admit this error because of its politically consequences. The decision to open a new campus is a political decision and a victory for the district representative. To close one down is not the best contribution to reelection! Sooner or later however, states will have to face the consequences and adjust the number of campuses to the real demand and stop "mothballing" campus facilities as is the case in Wisconsin.

STATE INFLUENCE

An important issue for the future is the relationship between universities and the state agencies. Much discussion has been dedicated to this issue over the past number of years. States distribute funds to higher education institutions in a variety of ways. States are responsible for financial allocation of operating budgets to the institutions, program review, and the production of management information.

The way in which state authorities execute their powers in the budget distribution varies considerably from state to state. Some examples of different types of state power to influence the budget distribution to campuses after a sum of money has been submitted to the state higher education agency include the following:

- lump sum distributions
- review budgets
- comments on budgets
- budget recommendations
- budget vetoes
- submitting a consolidated budget for all public h.e.
- budget formulation

In general, the relationship between state government and institutions can be described as a "partnership" that involves mutual benefits for both the institution and the state. The relationship will change over the years, as circumstances change. But it also can change with the issues at hand. The battle of influence has to be refought for every issue. Circumstances and conditions will change, sometimes predictable but often in a unexpected or unplanned way. Therefore, it is not possible to define the relationship in a permanent, explicit and detailed way for a number of years. It is important that the decision on the demarkation of power is not taken unilateral. Dialogue and discussion based on mutual respect and understanding of the different responsibilities are important ingredients to keep the relationship meaningful. The state has no power in what Berdahl called "substantive autonomy", nor should it try to seek that power. The institutions should understand that the state has "procedural" influence and that it is not per se wrong to use this power. The state government should understand that unlimited extension of procedural powers can, as Mortimer and F. Bowen commented, intrude into the substantive autonomy of institutions.

STATE REGULATIONS AND INSTITUTIONAL AUTONOMY

The first empirical data on the relationship of state regulations and institutional behavior was provided by Volkwein. Surprisingly, it showed that there was little relationship between regulation and quality. At the Illinois State University a research project by graduate students was recently undertaken to provide further data on this issue. Issues studied included: regulations with respect to dismissal of tenured faculty caused by financial exigency and sex-discrimination in tenure/promotion. It was concluded that academic freedom was not reduced or compromised, but that the decision making authority had been sharpened and refined by the effect of the regulations and court decisions in those areas.

It confirms the general notion that, exceptions not included, state governments have little influence on the substantive autonomy issues and concentrate on procedural issues. However, the courts in the US system have much more influence. Their decisions on vital issues like affirmative action and recently on the non-secrecy of peer advice for promotion/tenure decisions, have been of great influence.

QUALITY ASSESSMENT

Still one of the unresolved issues is purpose of assessment results. For example:

a administrative purposes which would imply methods and criteria that differ from the methods used for self-improvement and

b self-improvement purposes including quality enhancement and productivity improvement which requires a multiple use of measures.

Presently three main methods of quality assessment are used in US higher education: (1) accreditation, (2) state program review, and (3) a number of initiatives by separate institutions.

The accreditation process is divided into two types: institutional review and program review. Accreditation on the institutional level is performed by an external visiting committee which evaluates indicators of productivity at the university level. The data are provided by the institution through a self study. In the program accreditation, a visiting committee concentrates on one or a small group of coherent programs. The curriculum is reviewed, academic folders scrutinized, faculty and students are interviewed in order to be able to judge how well the curriculum is conceived. Faculty productivity and use of resources are also studied. Whenever a program or an institution is judged negatively, the accreditation body introduces a probationary status which, in fact, means that the next visit, a so called "interim-visit" will be within a couple of years instead of a regular term. The next step, after another negative judgement, would be the loss of accredited status. One consequence of lost accreditation is that the institution loses eligibility in receiving federal appropriations. However, no large institution has ever lost institutional accreditation.

The accreditation process does not have much effect on the institutional level. If accreditation has any effect, it will be at the program level. It does influence to a certain extent the content of the curriculum; and, therefore, is a potential danger to academic freedom. However, on the program level the judgments of visiting committees are not experienced as intrusion in academic affairs, because the peers are credentialed and respected experts in the field. By agreeing to participate in the accreditation process, the institution is subject to peer judgement. The peers are selected according to their academic standing and status in that field on a national basis. These evaluators are not paid for the services except for their expenses.

The costs of accreditation are staggering. Institutional costs are related to the enrollment figures according to a progressive scale. On top of this annual contribution to organizations that provide accreditation, institutions pay all the expenses of the visiting teams during their visit. Teams can accommodate up to 30 persons per visit. Furthermore a number of faculty members are assigned responsibilities specific to the accreditation process. Institutional preparations for visits require a great investment of time and energy of many faculty, staff, and administrators for at least a year.

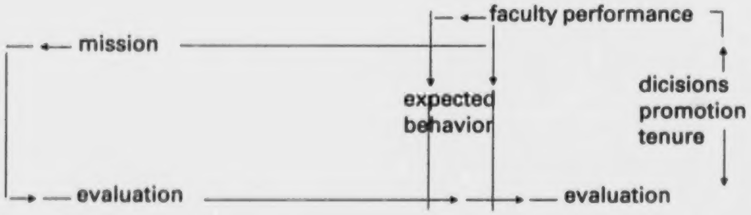
MISSION AND FACULTY

There is a distinct relationship between quality assessment and institutional mission. Quality assessment should be used to find out if the institutional missions are (being) achieved. Incentives to stimulate faculty should be in line with the missions to be achieved. If the mission is, for instance, the improvement of teaching, excellent teaching performance should be rewarded.
In a number of institutions a merit-based faculty reward system is used. At least three categories are distinguished:

a insufficient performance, in which the receptance of that judgment a number of times in a row can lead to dismissal. Faculty with "insufficient performance" are not eligible for pay raises (not even inflation-compensation),
b average performance which will lead to inflation-compensation or a small pay raise, and
c exceptionally meritorious, leading to an annual raise in addition to a bonus payment.

The faculty judgment should be in line with the expected behavior, generated by the goals/missions of the institutions.

The following schedule shows the linking of the different loops:



The criteria used to evaluate faculty performance are numerous, but predominantly directed toward research in the research universities. A few examples:

a the volume of federally-funded research grants
b the number of hardbound books, published through a refereed process by a well-known publisher in the field
c the number of articles in a refereed journal
d the number of external presentations

RANKING

Ranking institutional performance is generally based on faculty research reputation. The present rankings are criticized on the one hand because they are judgmental, but widely accepted because there are few other methods for this type of discrimination.
Alexander Astin (UCLA) showed that the main problem is the choice between two methods: quantitative and qualitative. The qualitative rankings are the reputational rankings which are limited in scope, and the quantitative relate to data which might have little relevance for a judgment on the quality (for instance: are rich schools necessarily better?). Astin recommended the talent development approach which indicates how much a student developed during his study and is also referred to as the "value-added" approach. Some institutions are now trying to develop methods to evaluate the value-added concept (North East Missouri State).

GRAPEVINE STATISTICS

Originally started by dr M.M. Chambers and now collected and analyzed in a publication I edit, the GRAPEVINE statistics show the development in the state tax appropriation for the operating expenses of higher education institutions. States are the major revenue sources for the support of higher education. Kent Halstead, a research economist with the US Department of Education, collected data providing comparable information on the attitudes of the state legislators on higher education and tuition increases. The data have been influential over the years in the public discussion on state contributions.

PUBLIC AND PRIVATE SECTOR

One of the distinguishing features of American higher education is the combination of public and private institutions. The statement: "Most of the prestigious institutions are private" is commonly heard, but misleading. Among liberal arts colleges, most of the prestigious colleges are private. Among the research universities, there are both public and private institutions represented with a larger number of privates than publics.

Under conditions of excess capacity, the entire national system of higher education would not suffer because of a reduction in the public sector. Under conditions of filled capacity, a reduction in the private sector might be associated with increased demand in the public sector or with less student access and opportunity generally.

Present fiscal circumstances in the states lead me to believe that higher education is not going to be able to be supported at the level that it was in the past. As a result, higher education is becoming more stratified with some campuses being more successful at increasing revenue from non tax-sources. The future "quality difference" will be experienced more by these more prosperous campuses, while less prosperous campuses which are unable to identify revenue-raising mechanisms and who must rely on traditional tax sources, will become even more mediocre and less distinguished. In my judgement, a number of these "mediocre" campuses, should be closed and converted into other public purposes.

POLITICAL AGENDA AND CHALLENGES FOR THE FUTURE

Higher education in the US faces in the decade of the nineties, a number of specific challenges. In short:

a attempting to improve quality and access/opportunity
b attaining mission differentiation among institutions
c maintaining independence/autonomy while contributing to the economy
d educating versus credentialing
e responding to consumer needs, while not compromising values

The political agenda shows, in my opinion, the following issues:

- a inability to close institutions & programs
- b maintaining or increasing accountability while not destroying autonomy
- c states: shift from open-ended budget to foundation plus small increments
- d federal government: maintaining student access, basic research and management information
- e local government: supporting community colleges.

SUMMARY OF THE INTERVIEW WITH MARIAN L. GADE

UNIVERSITY OF CALIFORNIA AT BERKELEY
CENTER FOR STUDIES IN HIGHER EDUCATION
BERKELEY, MAY 15, 1990

Interview Summary 03

PUBLIC AND PRIVATE HIGHER EDUCATION

The relationship between public and private institutions for higher learning is a typical feature of U.S. higher education.

Recently, Clark Kerr and Governor John Ashkroft (Missouri) started a study, released in June 1990 for the Education Commission of the States on future state policy towards private higher education institutions. The states vary both in the number of private higher education institutions and their attitudes toward it. One state (Wyoming) has no private institutions at all. There are 6 states that actually fund private higher education directly. Some states, such as California, can not fund private institutions because of their constitution. About half the states pay a fair amount of attention to the private higher education institutions.

If all students who now go to private higher education institutions were to enroll in the public institutions, it would require an additional 12 billion dollars per year. The private system actually releases the pressure on the public system and it provides a great diversity.

Some of the institutions of higher education which are private are both the best and the worst examples. There are many different ways of looking at quality.

It is important to find out what a particular consumer wants from education. Single standards in a highly diverse higher education system are meaningless. People can really choose. There is a market for practically everything, even for education of limited standards which even then can benefit some. Often these colleges provide education that will benefit them more than the ivy league institutions whose education is directed to the top students. If they would enter, there is little chance that they would be able to keep up with the other students.

Therefore, standards in the U.S. higher education play a different role than in Europe. Many of the "lesser colleges" provide educational settings for certain students. Prestige is more in research activities such as the number of Nobel prizes or the number of prestigious professors.

QUALITY AND STUDENTS CHOICE

Quality and information on quality plays a role in the choice of a graduate school. High school graduates are not as influenced by quality except for the general opinion that some institutions are "top-notch". Given the current notion of quality, it is questionable if the prestige of the graduate faculty is the most relevant information for 17 and 18 year old students. There are many other reliable choice variables, but most students know little about their options. Research in California shows that most freshmen have little knowledge of the educational supply in California. Furthermore, they are only familiar with the Ivy league institutions on the East coast. The thousands of institutions in the middle remain unknown to them. They are so to speak: "bi-coastal".

Actually there is much information available in college guide books. There are public and private school counselors who help students find an appropriate college and help them through the admission procedures. Information available in rankings often relates to departments and that information is only relevant to juniors and seniors. Institutional rankings include limited information about the first years of college or general education. In the U.S. model students select majors much later than in most European countries. In addition, there is a great amount of student migration of students changing majors in the U.S.

CHALLENGES FOR HIGHER EDUCATION IN THE FUTURE

1 More responsiveness to a society that soon will consist of 1/3 minorities. Their participation rate should increase. The drop-out rate in high school should go down and enrollment in post-secondary education should be strengthened. Many programs are set up to increase enrollment. This participation is not only a matter of equal choice, but also an economic necessity.

2 A massive retirement of faculty is expected in this decade. These people will have to be replaced. One of the problems in some fields such as engineering is that salaries in private enterprise more attractive than the salaries in higher education institutions.

3 The issue of whether the undergraduate curriculum should include a more general education. The discussion is more heated than enlightening, but is important because different times require different answers. And even if the only consequence is a confirmation of existing policies, the discussion has value.

4 Assessment and evaluation of outcomes started as an issue of accountability for public money spent. For a time it looked as if states would become very intrusive. The most dominant model was Florida which served as an example of how things should not be handled. The states have recognized that it is the primary responsibility of the institutions to develop techniques for assessment.

5 Money always remains a challenge.

6 The question of governance of institutions. In several states the issue is now being readdressed again. There has been, for a long time, a tendency for more centralized control while at the same time other segments of society were going towards decentralization. Examples of that are management-on-the-shop-floor and more school site control in the K-12 example. A number of states have considered consolidating all their institutions into a single governing structure. But most have not done it. Maryland was the last that consolidated all but two institutions into a single system which was partly an answer to the lack of money. Some legislators and governors seem to think that if you somehow would centralize and get rid of all these extra boards you would be better off."Governors want just one phone number to call with respect to higher education." This tendency comes with less money because they want their money well spent.

7 The contribution of higher education to the economy. Many business-higher education contracts are established now. The danger is that higher education may promise too much: the institutions will not be able to carry out all they negotiate without jeopardizing their mission, priorities and autonomy. Let's hope that higher education is not so greedy that they will end up as service institutions to big money.

8 For California now the big question is expansion. The university has proposed opening three new campuses in the next decade which can only be realized if the present formal cap on state spending is lifted.

HOW MANY HIGHER EDUCATION GRADUATES DO YOU NEED?

Clark Kerr has done some studies on this issue. The latest data shows that around 25% of the labor force is in the technical and professional occupations. These people will definitely need some form of post-secondary education. But we don't educate just for the labor market; we also want educated citizens for cultural and civic reasons and for personal enrichment.

Important in the estimation of future needs of higher education graduates is the fact that about half the training for the job, actually takes place on-the-job rather than in school. There are so-called "corporate classrooms" where there is formal education but there are 12 1/2-13 million students in the non-formal sectors receiving specific training. Furthermore, a lot of on the job training takes place on the work floor in terms of "I'll show you how this machine works". The costs for these types of education are paid by the consumers. I have never been as convinced that there is a direct link between higher education and labor market as most of European governments seem to think. Some professions can be excluded from this general approach and those are professions where higher education is the only route to it, such as the medical professions, accountancy or law. For some of these professions some central planning could theoretically be possible. But in practice too many doctors become specialists resulting in a shortage of general practitioners and perhaps an over-abundance of psychiatrists on Madison Avenue in New York! They are not located geographically where you need them. This problem does not end with education. We have left the places to the market and figure that the people will make their own choices and do their own planning.

Recent figures show that the lifetime earnings for higher education graduates are still considerably more attractive compared to those who haven't enjoyed post-secondary education.

It is unlikely that educational policy can be closely connected to the labor market because of the mobility of the work force. Employers are more interested in a college degree which proves that the student has some stability, some general education, and they know how to solve some types of problems.

The signals that are received from the enterprises vary according to the level within the corporation.

a top executives/business leaders ask for "a good general education" for someone who is adaptable and has shown that he/she is able to learn
b the managers of the personnel departments are more interested in an accountant or ....; requiring more professional oriented skills.

MASTERPLAN

The California Masterplan has been reviewed every 15 years, the first time in 1975 and now again. The main outlines have been reaffirmed but the community colleges have recruited more attraction to strengthening them. The masterplan lays down the missions and the clientele for the three segments of higher education in California. Further planning goes on within these segments and as part of the appropriation process of the legislative.

Most of the planning is not directive, telling someone what to do, but more providing information, forecasting of trends and advising the legislators. Many states have centralized governing boards, but California has a more decentralized structure, with a coordinating, rather than governing, board.

The community colleges were meant to serve an important tool in California higher education. But the enrollment figures have dropped since a $50 tuition was introduced a few years ago. They were meant to be an alternative route into the university system. A graduate could enter the third (junior) year of the university after completing a community college program. But many students still choose a university for the freshman year. This causes many problems. The transfer function is an important function of community colleges. The functions are:

- provide transfer education to the universities (junior level)
- occupational/vocational training leading to an associate degree or certificate
- community services

A lot of the problems are "technical;" for example, how to measure the transfer rate and what to think about the reverse transfer (students who already have a bachelor degree and go back to take a few courses). The university has now strengthened relationships with community colleges in order to make transferring a smoother process.

Students from a community college perform as well as "native" students who started at universities. The articulation (acceptance of credits) is a problem that is now solved by articulation agreements between institutions. Their is considerable influence by the university on the community college curriculum that provides transfer courses.

STATE GOVERNMENTS

There has been remarkably little intrusion from the state in academic affairs in California over the years. The master plan has very high credibility and it minimizes government intrusion and has allowed rational growth. Before the master plan, there were a large number of bills in the legislature to establish state colleges. Every legislator wanted a higher education institution in his county. The master plan rationalized the decision process. It has been successful. The state has been very supportive. The University of California is provided for in the state constitution. It has constitutional autonomy. Compared to many other states the position is relatively good. The university receives a lump sum budget.

COMPETITION

Competition is a characteristic of U.S. institutions of higher education. Private institutions (although they only enroll 22% of the total number of students) are an important factor. Clark Kerr used to say: "Berkeley would not be as good as it is if it were not for Stanford as a competitor and standard setter".

The competition on the whole is a good thing. It can be wasteful when institutions duplicate courses, but they have to compete for students and this will enhance market orientation. The competition has brought us much better education than we otherwise might have gotten.

WEAK SIDES

It is true that research has in all aspects received the major attention and rewards. We train the faculty for research tasks and then we send them out to teach. Teaching should get far more attention and honor. The present hierarchy in which it almost looks like "the less teaching the more prestigious" is not productive to the missions of most of the research institutions. It is interesting that Stanford's president has just come out and said that they were planning to emphasize teaching more and research less. It will be really interesting to see how that goes.

The quality question—there is great variation, this is both a strength and a weakness. There should be constant attention to quality. It is difficult to measure what students have learned during their period at the university, which is primarily what demonstrates the quality of education. If there would be an outside imposition of standards this would give institutions a vested interest in raising the admission standards. This could exclude many of our present students from the system and it would be unfair to the institutions who are willing to enroll very under- prepared students and bring them as far as possible. Nevertheless, a few students who are not educated at all graduate from higher education institutions.

QUALITY ASSESSMENT

The department-by-department peer review is the most reliable method of assessment. University-as-a-whole assessment has little relevance. You can evaluate the quality of programs, see what kind of students they turn out, what kind of jobs they get. You can look at facilities, you can look at how much the faculty publishes, whether it is high quality and/or breakthroughs, if they win prizes. The people in the field know that the best, not government organizations.

ACCESSIBILITY OF THE SYSTEM

Looking at the prices for the best private higher education institutions one must take into consideration that the tuition rates are heavily discounted by the student aid provided by the institutions. The institutions annually spend over $2 billion in student aid. For some institutions, as much as 25% of their educational and general budget goes to student aid.

SUMMARY OF THE INTERVIEW WITH DR GARY RHOADES

CENTER FOR THE STUDY OF HIGHER EDUCATION
UNIVERSITY OF ARIZONA
TUCSON, MAY 21, 1990

Interview Summary 04

WEAK AND STRONG SIDES

Some of the strengths are at the same time the weakness of the system. The first issue is access. The U.S. system has great access as well as very high rate of student attrition while European universities enjoy a much better retention rate. If the dropouts are not included in the enrollment and graduation trends, then the percentage of graduates in the U.S. system of higher education will not be very different from European countries. To complicate the U.S./European comparison of the number of students who have access to higher education, one must consider the types of institutions labeled as higher education in both settings. Most comparable institutions in Europe to the U.S. community colleges are not considered to be higher education institutions. On the surface it looks like the U.S. is providing a lot of access, but if one would really try to compare the figures to Europe there is less difference than we often admit. Sociological studies show also that status attainment in job mobility does not differ significantly from the European countries.

A second issue is strong graduate education in the United States. Generally the quality of education up to the undergraduate level is without doubt below European standards. However, as soon as American students reach the graduate level, the educational experience is more systematic and rigorous than in Western Europe.

The third issue, the autonomy, is not necessarily a positive characteristic. The autonomy of US higher education is perhaps heavily over estimated. It is true that in the US there is no influential federal ministry, but there are governmental agencies and federal courts that in many ways intrude into academic decision making as much or more than European ministries. The difference is not that we have a weak federal ministry that does not intrude, but rather than a vast bureaucracy the US has various levels and branches of governance which yields a very profound impact.

A recent court decision on the openness of dossiers regarding tenure and promotion stresses that it is a very powerful intrusion in academic affairs. Decisions can now be brought to a court for arbitration. Affirmative action cases have the same effect in that university administrators must handle these issues likewise, whether in admissions or personnel policy. This is why the autonomy is not one of the subjects that could be stressed. Most American produced cross-country higher education reviews by the mainstream social scientist give the impression that the US system is more or less "laissez-faire," but I would strongly disagree.
When they study government structures, they mostly look at the formal bureaucracies that overlook the institutions, without paying much attention to the other influential governing branches. In the U.S. even the private sectors are heavily tied to government.
They go through the same procedures of accreditation and assessment. They rely largely on governmental funding through student aid or by means of research money.

Fourth, I would be less inclined to emphasize diversity even though on the face of it we have greater diversity than the European institutions. Probably the top 200 research institutions are quite similar on either coast or in the heartland of America, public or private. They look the same and they very much work the same. The diversity really comes in as you move way down the hierarchy of institutions. Compared to Europe that is the same thing, only the type of institutions that are considered as the diversifying factor are not categorized as higher education in Europe. We call virtually everything higher education. About a third of that is in community colleges and the bulk of that is in vocational programs, not the transfer programs. The confusing thing is that the majority of students who enroll in a four year university program from a community college transfers from vocational programs. This alternative route is followed by many students. There is no limitation to higher education consumption. If you are accepted and pay your tuition, you are accepted and the state will grant the institution FTE's.

Within the top 200 the difference on the institutional level is not a relevant indicator, although the tuition fees may differ tremendously. By the nature of the work the emphasis on graduate education, the emphasis on research are all the same. The differences in quality per discipline are nevertheless relevant. The harder the science the greater the fall off in quality. The costs and equipment are unaffordable for the lower ranked institutions. The rankings in these institutions indicates also the level of funding.

I am sure that this type of variety exists in Europe, but it is less publicly known. The first attempts to start rankings in Europe are now set up. They will probably show greater diversity than is often supposed. In Europe there is greater diversity than is publicly acknowledged and in the US there is less diversity than is publicly declared.

COMPETITION

Joseph Ben Davis was right in his article in the early sixties where he related advances in science to the competition within the system. Competition is the striving feature and it is strongly developed in the US. Important stimulants have traditionally been the absence of a few dominating universities as the main centers of science and culture like Oxford and Cambridge in the UK in the past. In the U.S. there is not one monopolizing center for culture and academe but many which has enhanced competition from the very beginning. The competition reflects on all levels and between all groups. It stretches out from the competition for the best students, to research money and even to competition between states. The legislators are aware of the importance of higher education faculties in their state and have shown interest in maintaining a variety of facilities and at least one top ranked research university. It is important to understand that the competition basically generates similarities between institutions, not differences. The competition is directed towards the same, or comparable, using the same criteria. From this point of view, competition cannot cause necessarily an efficient division of labor between institutions within or throughout states. It could lead to inefficient duplication. For some time it was assumed that state-wide approved or enforced institutional missions, would result in a rational division of labor. California was the only state, using its statewide masterplanning in a division of labor on a central level. Still it did not stop the academic drift that is driving the teaching universities. Reputation, better funding and more esteem can only be achieved in research which implies that a single teaching mission leads to low reputation.

QUALITY OF UNDERGRADUATE EDUCATION

There is a general sense, that teaching at most research universities lacks quality. The conditions are poor: classrooms with 200-300 students taught by inexperienced post-graduate students. The interest of faculty in undergraduate education is low. The attention that teaching has received lately, for instance in the recent speech by the president of Stanford, Donald Kennedy, is promising on the one hand. But as the same time it could lead to cynicism if the administrative behavior is not adjusted. Teaching is not appreciated now! The resources are still going to the successful departments in research, teaching performance is valued less for promotion and tenure decisions and star salaries are paid to researchers and not to teachers. Unless this is reversed or at least changed drastically, the impact of statements like Kennedy's will be zero.

In the seventies, the issue of the quality of teaching also had a prominent position on the agenda. At that time legislators, tried to improve teaching attention and performance by legislative measures that enforced a minimum number of teaching and contact hours between teachers and students. Needless to say that implementation and control was not much of a success.

The irony of the U.S. undergraduate quality discussion is that the states pay primarily for undergraduate education and not for research. They like the research and are sometimes impressed by the results, but they are not willing to pay for it. One of the explanations for that might be that the educational credentials of the legislators show only a limited number of legislators with baccalaureate degrees let alone advanced degrees. Despite the attention of the legislators, much of the money within the institutions is channeled to the graduate level. The result is a very strong graduate level at the expense of the undergraduate level.

It should be the expectation of the public that institutions providing bad education are shut down. However, it is politically not feasible to do so. No elected person will be able to survive a re-election campaign with the closure of a local university on his record.

FINANCING

All major research institutions are engaged in massive fund- raising drives. Private support for public institutions has become financially essential to supplement the state (and federal research) contributions. In order to interest industry, states offer potential investors access to public educational and research facilities. This generates an intense competition for public and private money. It exposes the close relationship between capital and academe. The impressive proportion of corporate money does not leave the university untouched.

QUALITY ASSESSMENT

The issue of quality receives much public attention. The present methods used by outside agencies, accreditation and state wide program review, have not been able to guarantee an acceptable minimum level for all institutions of higher learning. Some remarks on both methods.

First, the institutional accreditation in practice is nothing more than a number of people visiting an institution for a couple of days and studying information that resulted from the self-evaluation. The outcome of the self-evaluation tends to result in the conclusion that more state financial resources are required in order to do (even) better. Often an accreditation visit is used to get leverage for budget expansion requests to the legislators. The institutional assessment is nothing but a very minimal examination of the institutional performance. Very seldom institutions are put on probation, but never does a public institution go out of business. Institutional accreditation does not separate any wheat from the chaff. The program accreditation produces more usable results, but is still remains suspicious. Secondly, there is the state-wide program review of new and existing programs. In practice this review is a paper tiger. With a few exceptions, states lack the expertise, staff and resources to be able to enhance quality through these procedures. The practical effects are minimal, while the process generates unproductive bureaucracy for the institutions.

Both accreditation and state wide program reviews do not guarantee much to the consumer. If the countries in Europe are developing ideas on quality assessment, I would advise them not to use these methods.

TRANSFER OF STUDENTS

The goal of student mobility is highly desirable in U.S. higher education. However, in practice many students have problems with transferring from one institution to another because their credits are not always accepted. There is no solution for this paradoxical situation. On the one hand freedom of choice must be guaranteed but the enforcement of acceptance of credits that are below one's standard is one of the most scandalous intrusions in academic affairs of which one can think. On the other hand, consumer protection and the facilitation of student transfer is a legitimate policy aim and consumers desire.

CONSUMER BEHAVIOR

Quality assessment ratings can be helpful to consumers to make intelligent choices. The ratings attract news media and people talk about them. Unfortunately the present ratings are based on faculty reputation and the quality of graduate education which bares little relevance for undergraduate education. The main choice factors of distance to the institution and the socio-economic status of the applicant remain most relevant for the undergraduate.

Still, the best impetus for competition is to inform the public on the quality of the institutions. Quality information is available in many sectors in society so why should it not be in higher education? There is a danger or vulnerability of the institution when quality is totally determined by a warning for uncontrolled enhancement of the vulnerability of consumers choice. It can lead to a single marketing attitude of the institutions. Boyer warned for the attitude there is a loss of attention towards the students. Taking that extreme into consideration, it would still be good to have a better informed public with knowledge on the relative quality differences between institutions.
The conditions for a clear market working in the US are not favorable due to the fact that large segments of the market are not accessible for the majority of the consumers because:

a the expenses are to high (either expensive private colleges, or excessive out-of-state rates for public institutions)
b the selectivity of the system eliminates entrance eligibility for the vast majority of students.

In Europe the conditions for a market incentive are much better. The low state set tuition does not cause anyone to give up aspirations to enter the institution because of financial reasons. Furthermore, in most countries students will be accepted in all institutions. Students can select the best institution, or the institution that fits their intellectual abilities most.

RESEARCH

Much of the attention of institutional management is addressed to sciences, medicine and pharmacy because those areas represent the disciplines where the bulk of federal research money is directed. This had important influence for the allocation of resources on campus. Around 90% of the research funds are federal. And although there is a close connection with corporate money, the corporate sector has never accounted for a significant amount of research funding, nor does it intend to do so.

INNOVATION

A key-factor in the implementation of change is a strong local bureaucracy on campus. These local administrations have to answer to signals from the outside world. As is in Europe, the U.S. can create more tradition. All the laws thinkable can set up all the frameworks that are imaginable, but faculties on campus will go on and do what they wish to do regardless of the legislation and framework. If necessary they will find ways around it.

Campus administration is less developed in Europe. Powerful leaders and powerful administrators have been a key part of promoting innovations in U.S. higher education. This internal change process is necessary because no corporate group has ever adequately generated change from within itself. The faculty in higher education is no exception to this rule. You need to have an external pressure or incentives to change.

RESPONSIVENESS TO CHANGING CIRCUMSTANCES

Higher education in the US is responsive through the many groups and parts of society that have access to the system. This type of pressure is stronger and more successful than the effect of influence by large bureaucracies in Europe. It is basic knowledge that regulatory agencies are closer to the regulator than to the consumer. Along with the stronger campus administration, it has made higher education more susceptible to external influences.
A number of influences should especially be taken into consideration:

1 Court decisions are influential on higher education policy. Many individuals or groups go to court and challenge the institutional and state, and sometimes federal policy.
2 The funding sources. Local change agents, who see a potentiality for the attraction of external sources, will try to create attractive new structures within the institution.
3 The problem oriented approach in most curricula stimulates responsiveness to changing external conditions.
4 Governing boards on the institutional or state level can sometime establish contribute to the change.
5 An important feature of the receptiveness is what Martin Trow called "anything goes" in the US higher education. Using that expression Trow expressed the richness and variety and experimentation in the system which enables new initiatives to develop without being hindered by a national idea of what a university should be and do.

SUMMARY OF THE INTERVIEW WITH DR AIMS MCGUINNESS

EDUCATION COMMISSION OF THE STATES
DENVER, COLORADO, MAY 24, 1990

Interview Summary 05

THE STATE OF U.S. HIGHER EDUCATION

From a foreign perspective, higher education in the U.S. has been especially strong in flexibility and in dealing with a highly diverse population with a great variation of needs. The three code words of higher education which make this possible are flexibility, multiple sources of funding, and competition.

One of the weaknesses in the public system is centralization. At this moment state governments are trying to serve the noble goal of responsiveness through a bureaucratic apparatus which grants more authority to governing boards and creates structures over structures.

Another weakness is the fact that the incentives are overwhelmingly directed to a relatively narrow definition of scholarship. It is not only the dominant position of research over teaching; it refers also to the narrow definition of values that are derived from the sciences that limit the scope of judgement. Those values are drawing energies away from the other basic missions such as teaching. In a population as diverse as the U.S. population, teaching is important. The country needs a large percentage of the population with post-secondary education. Attention for and quality of teaching should be positioned highly on the agenda.

Higher education is still under the pressure of academic drift. Institutions with a single teaching mission are confronted with a reputational system which is totally research oriented. Their only way to receive recognition is to add research into their basic tasks. When both research and teaching institutions are covered by one governing or coordinating board, the model of the most outstanding research university is (de facto) the model for development for all institutions. Forces that enhance academic drift are:

a disciplinary values;
b a tightening faculty market in which faculty can bid up their working conditions, including less teaching hours;
c research is prestige;
d bureaucratic forces;
e the fact that most institutional administrators are academics themselves.

It should be possible to lead the various systems in a way that encourages differentiation. Local boards and diversity of sources of funding can help to guard against academic drift, as Kerr argued.

Another weak side in the quality of U.S. education is the secondary education system. For this failure higher education is partly responsible in that universities are the primary educators of the teachers in public schools.

Finally the quality of undergraduate education is a concern. The feeling is that institutions are not doing well, and some are even doing mediocre. The absence of central standards interferes with clear evaluation of the present situation. Some states became very intrusive in an attempt to measure the progress of a student with the so-called "mandated testing programs". The state of Florida introduced testing and was followed by Georgia and Texas. It seems now that the attention is fading and no more states are considering the establishment of that type of program.

The great challenges for the coming years will be related not to undergraduate teaching. The connection between secondary and post-secondary education should be brought to the attention of policy makers. It might be time to reconsider the structure of secondary education and introduce more streams as the European systems. That effort could be an expression of the nation's commitment to assuring a level of education attainment of a larger section of the population.

FLEXIBILITY OF THE SYSTEM

Higher education is flexible and accessible to external influences.

a the structure of the professorate
b the market dimensions of faculty to move across, between and among institutions. Faculty can bid in a competitive market;
c not only the mobility of faculty is an important contribution to flexibility, but also the mobility of students who move from one institution to another. The credit-system is supportive for student migration;
d diversity of funding: all important institutions have a number of sources upon which they rely; they are not dependent on a single source;
e it is not governed by a single set of values. The least flexible systems are governed by single values. European higher education is an example of that. Every innovation must be carefully weighed as to whether it fits the scheme of what higher education should be;
f the influence of the federal government is limited;
g the system is decentralized, and the flexibility and responsiveness is most effective in those states that have also formulated a decentralized system. Increase of central authority implies decrease of institutional responsiveness.

It will be an interesting case to see how European higher education develops after the introduction of a single market in 1992. It might create the basis for a future "EC-role" in, for instance, funding of research on a competitive basis analogous to the federal government funding in the U.S., to the point where every major institution can get a large contribution. Naturally this will create the problem of nationalities because every country will demand a certain share of the pie and indeed there has to be a certain balance between political and economic distribution of EG-funds. One basis for consideration is the way the federal money in the U.S. is distributed. Whether this type of money allocation will be bureaucratic, will depend on the standards that are used by the distributing agencies. In many cases in the U.S. the application for a federal grant requires a research proposal in the field of expertise of superior quality which is almost a contribution to the development of knowledge itself.

COMPETITION

Competition is an important tool in the improvement of quality and diversification. Competition should be directed towards multiple goals and missions through the system. In the U.S. the system has been weak in giving evidence on actual student learning, but strong on faculty prestige. Unfortunately, faculty prestige in research bares little to no relationship with the quality of teaching. The reason why over the past years the assessment movement has developed rapidly, is partially caused by the fact that it is understood that competition as a stimulating mechanism for the improvement of the undergraduate education should serve an important role. In order to try to improve the information to the public, some states did come up with initiatives. A recent example is the State of New Mexico, where the governor introduced legislation to enforce annual publication of report cards. The information should serve both the consumer in its choice for an institution of higher learning, and the public in terms of visible accountability to show that they get value for money.

Still, the model of the perfect market, in which institutions should be left complete autonomy to respond to external forces is not within reach and probably never will be. In a number of states, access to higher education is provided by the legislative decision to accept all qualified state residents to the state institutions, as in Ohio and Kansas. All applicants are accepted. However, many institutions are selective which limits the function of the market. A number of activities, directed to improve the enrolling students (improving the public secondary education and remedial programs in the universities) assured a low attrition rate.

STATE INFLUENCE ON HIGHER EDUCATION

The variety of governing systems for higher education within the different states is significant. For all relevant topics, positions on the spectrum can be marked. Every state has its own particularities and culture. The level of flexibility varies from centralized to decentralized systems. One of the factors for determining the level of centralization is the geographic and economic dispersion within the state. It is not always possible to deal with the differences and imbalances of regions by the legislators. Understanding the underlying cultures and perspective, values within and history of a state is an important determinant. It is tradition in most of the western states, that the state constitution limits legislators in their leeway to enter into contracts with private institutions to carry out public policy. Even the personal power of the governor in a state can play an influential role. In some states the political life is shaped by the governor, in other states politics are dominated by the legislator.

To name a few extremes on the flexibility scale-New York is very centralized and Michigan is relatively decentralized. The level of decentralization is often a token of political balance and political trust between the legislator and the higher education institutions. Legislators don't like to deal with unresolvable conflicts. If the balance and trust are not there, they will probably choose a more centralized model.

The demarcation of power between states, state boards and institutions, is formalized through legislative activities. The autonomy can be granted either by the constitution of the state or can be defined by statute.

Influential on higher education politics within various states is the level of aspiration of both the state government and the institutional administration. If the basic attitude is "that will never be possible in our state," it is not likely that institutions are stimulated to show more than a conservative and non-innovative approach. If the institutional administration, the governor or the legislator are actively taking part in the development of the state system, the institutions will be supported in innovation and experimentation.

The general tendency of state policy is an increase of centralization, although a few states like New York and New Jersey, have recently made progress in decentralization. New York still remains one of the most centralized states. Explanation of this tendency could be:

- the short term in memory span of legislators
- lack of trust
- the strive for system visibility. Governors don't like to deal with a proliferation of different separate institutions: one phone number would be the most convenient.

Little attention in the state bureaucracies of states with centralized higher education policy is paid to the possible negative interaction between centralization and responsiveness of institutions. Priorities seem to be:

- how to make the system more accountable

- how to make the system more responsive to the legislative questions of why the system is not working
- how to track the money to assure that no money is wasted.

Major problems with increasing centralization is the effect of so-called "picket-fence federalism" in which layers of the bureaucracy, specialized in one pocket,shape higher education policy as a collection of independent decisions without sufficient knowledge of the system as a whole.

The major differences in state higher education policies in terms of centralization can be summarized by looking at the existence of governing boards of coordinating boards. Twenty seven states have a coordination board who serve as an interface between the state and the institution. They look after the states and system interest; they do not administer institutions. The governing or consolidating boards have a much more influential position in that they hire and fire the president, control the budget and make important decisions regarding personnel policy. In most cases there is more than one board per state. Four patterns are visible:

- institutional arrangements in which there is one board per institution (for instance Washington and Virginia)
- segmental arrangements, with one board for research universities, one for non-research universities, one for community colleges (for instance-California)
- states with one state wide board (Ohio, Massachusetts)
- a mixture of these three arrangements.

Many states keep record of what other states do in higher education policy. Copying ideas is often the basis for change. When the governor of Michigan launched a pre-payment plan for the payment of tuition-fees for public higher education institutions, it took the majority of other state less than six months to come up with comparable plans.

CHANGE REQUIRED

A lot of critique on the higher education systems should not be directed to the systems. It is the circumstances that change rather than the system which was constructed for another time.

It would generally be useful, if states would consider a more firm policy towards decentralization. It could improve possibilities for governance on all levels. Secondly, a rethinking of financing mechanisms is advisable. A move towards a more output oriented allocation system could enhance the attention for performance. The schemes used in the Netherlands could serve as an example. Thirdly, an improvement of the accountability should be considered and it should especially serve a role to inform the public of the performances of the system. An already mentioned attempt is undertaken by the State of New Mexico in introducing report cards that could serve the public.

INTERVIEW WITH DR FREDERICK VOLKWEIN

UNIVERSITY OF NEW YORK AT ALBANY
ALBANY, NEW YORK
MAY 29, 1990

Interview Summary 06

STUDY

In 1986 I published the study: "State financial control of public universities and its relationship to campus administrative elaborateness and cost: result of a national study".

The study grew out of interest on the amount of state control on higher education in New York and the lack of autonomy that campuses puts on issues of:

a personnel
b academic
c financial matters

At that time the New York state system at that time was heavily regulated. As assistant to the president, I decided to do some comparative research.

The basic question in the first research was what is the relationship between autonomy and the three issues mentioned. In a later stage the element of quality was added.

Surprisingly, the data showed the measures of cost and measures of quality were only very thinly related to the measures of regulation. But there turned out to be a significant relationship between the financial contribution and quality. In other words an institution could say, "It does not matter how much you regulate me. Give me enough money and I will produce high quality teaching and research." Only one exception to that finding occurred in the research and that was the campuses that were the most autonomous raised the most external support. The incentive for those institutions was that they could keep the money.

In New York this is not the case, most private income has to be reported to the state.

After the study, a blue-ribbon commission was created to propose changes in the regulations. They used the data of the study and concentrated on some of the variables that the study did not cover. The study was limited to campus costs of administration, while the commission took other costs on the state level into consideration as well as the tempo of change. The speed of innovation in a heavily regulated system is slowed down considerably.

The proposals of the blue ribbon commission received almost unanimous support on the basic outlines. Only one group opposed the recommendations and that was the civil servants employees union. They feared a loss of jobs.

The governor and the legislator accepted most of the long laundry list of recommended legislative change. Nine of ten proposals were drafted into legislation. Still New York remains one of the most regulated states! To get a more accurate picture the study would have to be replicated. Especially the financial autonomy is limited. Tuition fees are still treated as state income and not as institutional revenues. Furthermore there is not the possibility of carrying money over to the next fiscal year. Which means there is no incentive but to spend every dollar in the fiscal year. New York is in that respect not a unique state. Around 40% of the states don't grant the institutions the power to carry over money. Other examples of lack of financial and managerial autonomy is the absence of a lump sum budget. In New York all positions are specified, although the possibility to move funds within the institution has increased. Salaries are set by the state and all university personnel are state employees. The governor signs our checks.

An important improvement has been the possibility to offer considerably higher salaries to very competent faculty which enables institutions to compete for faculty.

The issues mentioned do not necessarily decrease the influence of the institution on its academic mission. But new academic initiatives, like the establishment of new programs, is also under the influence of state government. The statewide governing board in New York, called the board of regents must approve such an extension of the academic work. Their power competes with European ministries of education. Their power stretches so far that public and private institutions alike can not offer a degree or a curriculum without having prior approval. Theoretically a start without approval can be made, but the enforcement mechanisms are such that the program will not be registered and students will not be eligible for student aid.

The approval procedure is a complex, mind-boggling process in which many authorities take part. It takes between two to four years to get a new program approved, even if the institution has the faculty in place and the students banging on the door to get in. The procedure is an impediment to flexibility and slows down responsiveness to changes. New York has in that respect the toughest legislation.

The major aim of the approval is quality control. The claim is made that the procedure protects the taxpayers against redundancy, unnecessary expenditure of state resources and upholding (academic) standards.

The feeling is that free-market forces will lead to a decline in quality. If you let the institutions go they will offer off- campus instruction with no libraries and poor part-time faculty. The full-time faculty will concentrate on research and this will jeopardize the quality of undergraduate education. Without State control this behavior is enhanced and stimulates people to cheat the taxpayers.

The study on the effects of the present regulations and quality show a very limited relationship.

This procedures of measuring outcomes, accreditation, state program reviews is probably overkill of instrumentation especially when considering that the study shows the limited influence of regulations on quality, even over a substantial period of time. It would be wiser to concentrate on assessment. The state- university provost of New York has created a state-wide panel which spent the last two years helping the various campuses make campus- assessment plans. Albany has set up a four point assessment system:

1 student basic skills
2 general education and intellectual growth
3 attainment in the major
4 students personal and social growth

The assessment movement creates incentives for faculty to improve performance. It leads to public information that can be relevant for student choice as well.

Still it does not effect student's choice severely, because most students get their information from the student guide books. The ratings used in those guides are not very reliable. They are either based on faculty research reputation or on subjective measuring of institutional quality.

But there is a lot of competition to publish these guide books and almost every year a new book is published. The publishers include a lot of internal assessment, but it is hard to standardize those without nationally accepted standards. There is no national consensus on what it is that properly constitutes a good undergraduate education. For the graduate education the information is more reliable.

College choice has never been greater than it is right now. Although some scholars on higher education issues proclaim that colleges are becoming more alike; In my opinion, they have never been more different. High school seniors have a tremendous array of choice, small, large, vocational versus liberal, state, private, expensive, inexpensive.

QUALITY OF UNDERGRADUATE EDUCATION

How is it possible that with such an overkill of instruments to assess quality the issue of quality is still prominent on the higher education agenda?

The oversight activities have only an indirect relationship to what takes place in the classroom. Still, especially at the lower end of higher education, there is much effort to enhance the quality with success. The present attention of university presidents on quality education at the undergraduate level indicates that improvements have been made. The attention on quality and assessment issues in New York has definitely led to improved performance.

One of the dangers now is that a growing majority of students do not spend enough time doing their studying, because they spend time gaining money to pay the increasing costs of education or for other more materialistic purposes.

OPTIMUM STATE - HIGHER EDUCATION RELATION

If a major change could be facilitated politically, the emphasis should be put on post-audit activities and measuring outcomes with no attempt to control the input or the process. A large degree of autonomy is required for the financial issues: introduction of lump sum funding, deregulation of purchasing, gift incentive for efficient management and enhance as well as reward additional private sources. Worry less about the student and faculty recruitment and about program requirements, instead concentrate more on outcomes.

Accreditation and program review is a much more constructive way of holding institutions accountable for their performance than trying to impose regulations with control processes and decisions. A compromise between the present regulations and new initiative could be that new initiatives are audited more frequently than institutions or programs that have been in business for decades.

NEWMAN

In his book, "Choosing for Quality," Newman argues contrary to the data Volkwein has produced, that there is indeed a relationship between government control and quality of teaching education.

Newman's claim is data-free and it is the type of statement that inspired the 1900's research which lacks empirical support. His methodology is based on a few case studies within a limited number of states. But he ignores states that could provide counter-arguments. But the variety of American higher education provides support for almost any philosophy. The decisive factor for determining quality is the performance of faculty and the financial support an institution receives. Greater autonomy of faculty yields greater faculty innovation.

Giving the faculty autonomy raises the question of faculty loyalty to the institutions. It happens that some faculty work on a private basis during office hours, using university facilities. Leadership should aim at strengthening faculty loyalty to the institution and faculty concern for students. Faculty should at least feel obligated to maximize the quality of instruction. Formally there are few ways to rectify this situation. In most cases it is not possible to hire a person for institutional loyalty, concern for students, and a commitment to teaching. One of the reasons is an inability to implement discretionary salary increases to reward this type of behavior.

On the positive side, it is possible to appeal to people to improve their behavior and use incentives to achieve this change. This issue is the real challenge of future leadership.

INTERVIEW WITH DR ERNEST BOYER

CARNEGIE FOUNDATION, PRINCETON UNIVERSITY
PRINCETON, NEW JERSEY.
MAY 30 1990.

Interview summary 07

RESEARCH ON HIGHER EDUCATION

There has been significant development in research on higher education in the United States. After the second world war, new social policy led to an unprecedented expansion of the system. A system that had been dominated, for the most part, by private institutions, now became increasingly defined by the public sector. This raised questions about how to manage and govern the new arrangement. This emphasis on public higher education, along with expansion of the system and other emerging issues, was an incentive for increased attention focused on higher education as a field of study. A growth of the centers of higher education occurred in the period. During the period of recession there was a reduction in public attention for higher education in general. Important structural issues during that time were the division of labor in the system, mission statements, accessibility and equality. The latter two issues need constant attention, especially since minority participation is not increasing but decreasing. Further, there has been a recognition that these matters involve political choices that have to be made, and not merely theoretical designs.

The discussion on internal governance of higher education institutions has not yet led to a substantive theoretical framework. Therefore, much more discussion, research and thoughtful retrospection will be useful.

AUTONOMY

The specific point where the autonomy of an institution begins and ends is undefined. It is more appropriate to use the word "integrity" because no university is, in fact, autonomous. The question, ultimately is: How does a university maintain its integrity while still being accountable? The institutions are more worried about money than about possible government intervention.

The decline of public money for higher education revitalized the debate on this issue: what is the public obligation to finance higher education? Universities are now caught in public policy discussions on what the strategies should be across the full range of social issues, in order to assure a better future and quality of life. There is evidence that the role of universities in that competition has diminished. The political climate is not particularly favorable for the universities, although the ambivalence is that parents still want to send their children to college, and they want their education to be good.

In the 1982 publication of the Carnegie Foundation on control of the campus, it was pointed out that institutions have not lost their autonomy to the point of endangering their integrity. This conclusion still stands.

In the last decade since the report was published, federal and state activities have not seriously threatened institutions. Still, two issues are an exception. First is the connection of eligibility for student grants and the draft. By combining these issues, two policies with very different purposes were confused. It was remarkable that the universities' Council on Education did not protest more sharply against this idea.

Second is the present interrogation by the United States Justice Department, accusing private universities of price-fixing. Is the Justice Department overstepping its bounds here, or not? Institutions are protesting heavily.

Besides these two issues, the first being much more dangerous than the second, there are no major examples on the state or federal level that can be considered as the responsibility of the institutional authorities. The tradition has been established that the essentials of academic business are not touched. What is taught, who is teaching, how the results are assessed, how the standards of completion are established by the university community.

In terms of the procedural issues that surround the core business, the debate is less clear. There can be a point in which the cumulative effects are, perhaps even unintentionally, a threat to the autonomy of the institution. There are questions of efficiency and effectiveness in which government intervention can cause loss of responsiveness.

The difference between other agencies and higher education is that the essence of higher education should have a non-intended core business. As for accountability, universities can be treated just as other government sponsored public services.

RESPONSIVENESS

The history of higher education in the United States shows remarkable accommodation on several fronts: expanding access and the type of programs that are established, the creation of new institutions and research centers. Universities are capable of innovating beyond imagination. The day-to-day bureaucracy might be frustrating for certain offices on campus, which however rarely stops the university from making major shifts. It is not always the bureaucracy of government that hinders innovation. In a number of cases, these outside forces were the initiators of change. The GI Bill was originally opposed by the institutions out of fear of diminishing standards. Other outside initiatives like the improved access for minorities and the funding of special research topics have worked out well.
Entrepreneurial leadership stimulates creativity. Historically in the European countries, the entrepreneurial spirit did not fit into the scheme. The university was internally and externally defined according to a uniform model. In the United States there were not such rigid definitions. The system remained more fluid, producing a more favorable culture for experimentation.

Although it varies by institution, most of the institutions are relatively conservative. They could and should become continuously innovative, always asking the right educational questions. The answers to these questions do not always lead to change. External stimulation (preferably not based on entrepreneurial or marketplace considerations alone) can be helpful as well. A good example is the Fund for the Improvement of Postsecondary education, which was limited in scope but had an important symbolic impact. Receiving a grant implies recognition after a competitive selection process. The mainstream of innovations should come from within, but an incentive that rewards good ideas might stimulate creative experimentation.

QUALITY OF UNDERGRADUATE EDUCATION

The issue of the quality of undergraduate education is today again on the agenda. In recent speeches I named the decade of the nineties "the decade of undergraduate education." For the first time since the fifties, this issue will be debated seriously. The evidence is overwhelming: American higher education should pay more attention to the quality of undergraduate education. Where did it, despite all the mechanisms, go wrong? How can it be, with the oversights of accreditation and program review, that quality was undermined?

The conclusion can only be that the oversight has not prevented a decline in quality. The methods used are primarily procedural and quantitative. They include virtually no real critique or threat to institutions. Ultimately, colleges are policing themselves. The top institutions do not engage in strong self-criticism, and the less-powerful institutions are not able to offer criticisms about those that are superior in the hierarchy.

Accreditation is nothing more than a strategy to help out the weakest; it is not a strategy to continue renewing "the membership of the club." The accrediting agencies look primarily at the fulfillment of the institutional mission, so in the end the institutions themselves define how they will be examined.

Contrary to the opinion in Europe about higher education in the United States, we don't have mechanisms that keep universities attentive to undergraduate students. The existing methods should be improved. A problem is that there is no accrediting body specifically for undergraduate education. The professional bodies oversee only one pocket; the regional accreditation office should take on the responsibility. They are in the position to renew the undergraduate education as no other agency. Slowly and surely things are changing. It is hoped that the discussion of quality now being re-emphasized will enhance the oversight of the quality of undergraduate education.

Presently, the notions on quality are mainly based on faculty reputation. The average person has no knowledge of teaching quality. The plethora of college guides give some hints, but the differences are not convincing.

There might come a time when students and parents will become increasingly sophisticated and demanding more information about the nature of the quality. The push for better evaluation criteria will emerge. This task is the primary one of accrediting agencies. They should develop criteria to be measured. It is hard to believe that a self-policing group will be able to manage the politics of that without outside pressures. This very issue is at this moment being considered for an extensive study at Carnegie, similar to the study that led to the publication of "College."

POLITICAL AGENDA

The number one issue is quality of undergraduate education, which is related to a number of issues like student life, attention for teaching, the reward for teaching performance, and the ethical debate over curriculum.

Number two, closely connected to the first issue, remains the question of leadership. Can we find effective leaders for the managerial questions of the future?

The issue of resources is, and will be, on the agenda. The expected decline of students will, especially for the very selective issues in the private sector, be a challenge: institutions might have to compromise tuition income through less selectivity.

The issue of autonomy is not, at this point, in the mainstream of the discourse.

CARNEGIE

This summer the report on "Scholarship Reconsidered" will be completed. It will attempt to broaden the definition of the faculty role and establish new categories by which faculty assignments might be made and performance evaluated. In the current debate about quality, the research-oriented reward system is obsolete for ensuring better teaching, more counselling. Faculty now end up threatening their own profession by stepping out of the research pattern. The absolute switch-point on the quality of undergraduate education resides at the issues of what it means to be a scholar and what an equitable reward system should be.

STATE INVOLVEMENT

It is hard to predict whether state involvement will decrease or increase. I have been impressed at how quickly climates change and surprised along the way as the moods have shifted on campus and off. The direction, however, will probably toward more state intervention in the are of fiscal requirements. Perhaps this could even reflect the issue if colleges are performing well qualitatively. The pressure to improve is coming and will come from outside. Some states have imposed mandated testing, requiring institutions to demonstrate that students are, in fact, well educated. This should be judged critically because it borders on questions of integrity. If states introduce standardized tests, then states determine what students should learn!

INTERVIEW WITH DR ROGER GEIGER

CENTER FOR THE STUDY OF HIGHER EDUCATION
PENN STATE UNIVERSITY
UNIVERSITY PARK, PENNSYLVANIA MAY 31, 1990.

Interview summary 08

HISTORY

Much of my time spent in the study of US higher education is dedicated to a historical analysis of the development of research universities in the 20th century which led to the publication of a first volume in 1986. The next volume will be published in 1991.

The postwar period for all higher education can be divided into different periods. The most basic division would be:

a 1945-1975
b 1975-present

The period of 1945 to 1975 was a period of rapid expansion of the system: expansion of research during the 60s and tremendous growth of access up to 1975, especially through the community colleges during the last 5-10 years.

Halfway through the seventies, the fast growth in terms of financial priorities slowed down. The "steady state" period began. Except in some of the "late blooming states", higher education has not been a subject of major public investment since the middle of the seventies. Higher education has lost its priority position in society and has moved down to the status of just another state expenditure.

A moderate growth rate for research expenditure was secured by the increase of federal support for research. Adjusted for inflation over the period 1975-1987, the increase in total university spending on research was around 58%.

Federal support for priorities other than research has been reduced severely. Money for student aid has decreased, and the level of assistance for infrastructure funding (buildings, equipment) has been cur sharply compared with the 1960s.

The result of this reduction in the levels of government funding has been an increasing privatization of higher education. Institutions have increasingly turned to private sources. A few examples:

First is the rise of tuition costs. The increase of costs over the last decade has been significant. This has been partly compensated for by an increase in federal student aid, but only for the students coming from the lowest income groups. By assisting the "poorer students" you can charge more to the wealthy students who have really supported tuition rises.

Second, the voluntary support through tax-deductible gifts has become more and more important. Massive campaigns are designed to increase the institutional budget. A campaign recently completed at Penn State resulted in $350.000.000; Ohio State, an institution comparable to Penn State, raised $400.000.000. Fun raising has always been a strong tradition in private higher education, but has become much more important now in public higher education.

Third, research support form industry has roughly doubled over the last ten years as a percentage of total research volume. The strategy to build private support for public institutions has been successful, compensating for much of the decrease in state contributions. However, the smaller, regional, comprehensive colleges have been less successful in raising funds from private sources. The stagnation of public funds hurt these institutions most.

The most important question now is: how long can we keep increasing private contributions? To be more exact: how much more can we charge students, and how much more can we expect from private funds? What is the limit? The relatively slow increase in tuition at the most expensive private institutions in the last few years can be partly explained by that limit. To be able to attract the students they want, they must plough back more and more money to student aid.

On the national level, there is consensus on the need for an increase in federal support for research, but no one knows how the nation can afford this without facing the politically sensitive issue of raising taxes.

Assessing the dependency on public funds at this moment, it appears that the reverse situation of the sixties has taken over. In the sixties there was excessive dependence on government for funding. Institutions could avoid interaction with other parts of society. The approach is now more pluralistic in funding and outlook, and has shifted to a growing dependence on private money. Until now, this approach has not had deleterious consequences, mainly because the organization of the university has usually been decentralized into separate units. So only parts of the universities are dependant on private funds, and those are the parts that interact with external groups extensively.

PRIORITIES IN HIGHER EDUCATION

Over the years, priorities in higher education have shifted several times. The pendulum has swung between research and teaching. In the sixties, research was over-emphasized, while in the seventies the issue of access and egalitarianism was high on the political agenda. In the eighties, research came back into the spotlight and is again a strong institutional priority.

However, it is interesting to see that the total volume of research performed at the top ten institutions has been declining since the 1950s. These institutions are slightly—but consistently—losing market share year after year. More and more other institutions compete with great success in the market. The attention given to research has, in terms of academic careers, been a stimulus to increase the volume of private research. Small universities can now become specialists in well defined areas, and the old elite institutions (Harvard, Yale, Chicago, Columbia, Princeton, Michigan, Wisconsin, California and later MIT CalTech and Stanford) can not monopolize all disciplines.

INNOVATION

Most influential for innovation within the department are

a autonomy
b leadership
c incentives
d competition within institutions, between institutions, and between states

Competition is a very powerful motivator. Universities are not trying to put their competitors out of business; rather, they are in competition for prestige. Institutions at the very highest level keep extensive sources of information on what other institutions are doing: if they are losing graduate students, how much are other institutions supporting their graduate students, how much support other institutions get from various sources, what are the salary levels of faculty.

Universities compete in different markets. Harvard is competing with Berkeley for graduate students. Harvard is competing for undergraduate students with other elite undergraduate institutions like Amherst and Williams in Massachusetts. Competition in research is based on other criteria.

Competition is a catalyst for change, creating new circumstances. It was expected that the seventies, the decade of anti-elitism, would cause expensive, elite liberal arts colleges to suffer great losses. But they adapted and did not go out of business. In the eighties, this form of education became a highly valued consumer good again, and these institutions flourish once again.

ROLE OF STATE AND FEDERAL GOVERNMENT

The Reagan administration tried to reduce the federal student aid program, but Congress restored most of the damage. Federal student aid is now considered a permanent part of the system. If it were changed drastically, a revolt would be expected. Unfortunately, the proprietary schools—which consume much of the Pell Grant money—often have a bad reputation and a high default rate. Good policy demands a different kind of system for these high risk students. But these proprietary have a very strong political lobby. Furthermore, it is not expected that the federal government will invest heavily in expansion of the Pell Grant system: the access problem has been solved! Virtually everyone who is interested in post-secondary education can go to college. Given both the strength of the lobby of the proprietary schools and the absence of a compelling social purpose to widen access any further, no major changes are to be expected.

The key to freedom for universities is discretionary income. They need money to be able to expand, attract better personnel, and set priorities. The better the university, the more autonomous it is. Minimally requirements are the authority to enlarge income and freedom of spending.
The key to quality is autonomy and resources.

PRIVATE HIGHER EDUCATION

Half of the institutions are private, and 22% of the students are registered at a private institution. This means that in most cases the private institutions are smaller, more specialized. Their basic function be summarized by: more - better - different.

Traditionally in the US, most public institutions were located in the countryside, not in the cities. The private sector filled that gap with a large number of "The University of . . . (name the city)". This explains the "more". The "different" is still focused on a number of institutions with a specific background—denomination, for example.
The most important, however, is the "better", or to be more precise, the better and more expensive. The per-student costs are significantly higher at the best liberal arts colleges and the best private universities, compared to the public sector. Private institutions have set the national standard, creating a positive effect on the development of state education to meet these standards.

Over the years conditions have favored both private and public education. In the sixties and into the seventies the tide was clearly on the public side. Many of the private institutions were in serious difficulty. Many of them were near the point of bankruptcy, and some went under. The question then was: can private higher education survive? They could survive because they are private and independent. They could adjust to make ends meet: dismantle departments, lay of redundant faculty, etc. They came out of this harsh period stronger than the public institutions, which were still heavily dependent on state funding. At the end of the seventies the states were confronted with declining revenues and rising deficits, and they had to reduce public spending, including that for public higher education. In the 1980 the privates have, for now, generally been more prosperous than the public universities. Many private colleges however, remain in precarious shape.

SUMMARY OF THE INTERVIEW WITH DR THORSTON E. MANNING

CHAIRMAN OF THE COUNCIL ON POSTSECONDARY ACCREDITATION
WASHINGTON DC, JUNE 6 1990

Interview summary 09

INSTRUCTIVE EXPERIENCES ACCREDITATION PROCESS

The American accreditation system has grown out of past and present social and cultural conditions in the US. It is unlikely that an uncritical soil of the particularities of the system in to her countries with different conditions and political circumstances will be successful.

On the other hand, there are a number of general principals an procedures that have appeared over the years, that could be used effectively.

The most basic principle of accreditation is the method of peer review. The judgement as to whether the institution or the program is accredited, can only be made by peers. This fundamental method is copied from the research tradition, and all the problems that are connected to that type of judgments which are valid for the accreditation. One of the disadvantages is, that the level of peer judgement, is not to rise higher than the most distinctive member of its team. Furthermore it reflects the general run demonstrated by our history which shows that brilliant developments are rejected because they are ahead of their time.

Before transporting the US system other countries, it is important to now the weak sides, that have, after 75 years, not been solved.

1 **confidentiality**

Still in discussion and not resolved is the question of confidentiality. Should the judgments of the reviewing bodies be made available to the public?

The current situation is, that normally only the final decision is published (accredited or not) and/or in some cases a short summary of the most important findings. The materials provided by the institutions or programs are the responsibility and property of the institution. The team-report is for the benefit for the institutions which is different in the peer review tradition in research. Confidentiality in research is unthinkable when the research paper is published.

It is my personal feeling that we could do much better, if there would be more and automatic disclosure of substantial amount of information. There is movement, and it has been proposed several times, but it has not led to alteration of policy.
Interesting detail is that the states have so-called "freedom of information laws", which will practically make the information public available.

2 **type of judgement**

An important issue and the subject of perpetual discussion in the accreditation scene in the US, is the type of judgement. Should it be a pass/fail decision or a ranking c.q. categorization (very poor to excellent).

The present situation is pass/fail. This is a historical development. Attempts to change the system have never had any substantial support. The main argument is the variety and differentiation in US higher education. A ranking would require many sub-groups in order to get meaningful comparisons, or it would lead to invalid judgments.

If ranking is not possible or desired, a more elaborate categorization remains an option. The present two categories (pass/fail) could be extended to a larger number.

For the most part, accreditation in the US has been very successful especially on the institutional level. It has been criticized from various sides, but nobody can do without !

There are virtually no unaccredited institutions. To be eligible for federal government funding accreditation is a condition since 1953. The question is: "is there really a judgement as to were the fail level comes if no one fails?"

The question often posed is: how is it possible that very mediocre institutions still pass the accreditation standards ? The answer is in the various clientele and missions institutions have served. Institutions will therefore show a considerable variation in programs and levels. At the back of this is the highly priced access in the US. Inevitably there are institutions that deal with students that are not accepted by other institutions. They will have different in standards of quality compared to the top institutions.

When accreditation started in 1913, there was one single set of reasonably objective standards. As time went by the list was extended in the twenties. In addition to the first list, different standards were developed for different kinds of institutions (one for colleges and universities, one for two year institutions and one for teaching-training institutions). One of the observations at that time was, that there was not a single institution that met all the standards. Nevertheless, there was a general consensus that most of the institutional performance was satisfactory. Obviously the standards were, not the institutions. Although most of them were rather formal the criteria itself could under circumstances indeed be meaningful, but the complete list and the interaction of the separate standards drew a peculiar picture that could not be met by any of the institutions. Compensating circumstances (for instance a relatively small library but outstanding teaching staff) were too elaborate for the criteria: is was either a yes or no response. It was expected that a more holistic approach could eliminate much of the side-effects of the criteria list. After a few test rounds with visits to the campus accompanied by information prepared by the institution. A visiting team consisted of independent experts who were asked to categorize the institutions that they had visited. The judgments in the test round showed a consistent pattern which lead to the first conclusion that valid and reliable holistic judgement on the institutional performance is possible.
The second conclusion was, that in response to the substantial variety of institutions, a judgement on the institutions' performance must be made in the light of the purpose of the individual institution. One could question "the appropriateness of purpose" of an institution. The latter question was not an object of consideration in the early days of the system. Today, it still remains one of the unsolved issues in US accreditation. A related point of discussion is quality. There have been major discussions on this issue and there will debates on this question in the future. For the argument we'll use the following description: quality is a measure of how well the institution fulfills its own appropriate purposes. There complains about the quality of institutions in American higher education Indeed a substantial number of US institutions would probably not be labelled as higher education in Europe. But the purposes of these institutions is not, and can not be, to reach the standards of Harvard and Stanford. There purpose is different. The argument is therefore not primarily an argument of quality, but it is an argument of purpose.

STANDARDS AND THE APPROPRIATENESS OF PURPOSE

The accrediting bodies set their own standards which will be influenced by the COPA-board guidelines before they get recognized as an accreditation body. The provisions to be recognized do not prescribe in detail what the standards of the accrediting bodies should be. One of the important provisions invite accrediting bodies to "use evaluative criteria and processes that judge the appropriateness of institutional program purposes, the adequacy of resources and organization to meet those purposes, educational outcomes which indicate those purposes are met and the reasonable assurance of continued meeting of those purposes". The details are left to the bodies.

The reason for the absence of detailed centrally formulated criteria and procedures is partly historical because the accreditation started as a non-centralized activity.
Furthermore it is based on the hypothesis that in the programmatic areas, the qualified persons to make judgments are the people in the disciplines. Standards should therefore be developed by the practitioners in the field and those who are education future practitioners. In practice this leads to a large variation of standards between the accrediting bodies.

I have the opinion there should be a process of recognized accrediting bodies which should review the standards of the organizations with respect to the validity of the standards, evidence that the standards do not necessarily intrude upon reasonable autonomy of the institution, they are technically constructed in a proper way (for instance they are not ambiguous). Furthermore, the discussion on the standards could be more open to debate and influence than it is now.

The relationship between institutional - program accreditation is loosely coupled. Theoretically, a program looses its eligibility for federal funding if it is not accredited. But in reality the institution as a whole is still accredited and nothing really happen, because most of the federal money is channeled through students.

ACCREDITATION AND STATE LICENSING

There is no federal licensing, all educational responsibilities are reserved to the states. Over the years there has grown a connection between program accreditation and professional licensure. A good example is medicine. There is no juris diction in the US that will allow graduates of a non accredited medical program to attempt the licensing examination necessary for a license to practice medicine. The situation applies in most places for the bar-exam too.

The state examines a person who presents itself for a licensure. If they pass the examination, they are licensed and they can practice medicine or law. The tradition is, that the person takes the exam, not the institution. It is not specified in detail how this person should have been trained. Nevertheless, a prerequisite for admission to many of the state exams is that the graduates come from an accredited program.

A state can decide not to develop a state-examination but to recognize another examination (for instance a national examination). Again, medicine is a good example because most states use a national exam. In contrast is the bar-examination. Only a few states use a national exams which is always supplemented with a state examination because of the legislative authority of the states. The law schools are confronted with different demands from the national bar examination designed by the American Bar Association.

There is, generally, only one accreditation body per program or institution. In the past it was suggested that a competition between accreditation agencies for the same discipline could enhance the quality of accreditation. The COPA policy position is to discourage the establishment of more than one accreditation body for same tasks. Duplicating accrediting organizations would confuse the public and students and will inevitably lead to a hierarchy is judgments. The one body will find itself superior over the other. This would not be helpful to the public.

Still in the field of program accreditation a few examples of competing organizations exist. In the field of nursing there were two organizations. Currently there are two organizations in the field of chiropractic. The latter example is the result of a dispute between two visions on what a chiropractictioner should be able to do:

a be able to diagnose diseases which cannot be subject to chiropractical treatment, so that the patient can be referred to other health providence;

b there is no need for that ability.

Both groups have differences of opinion on standards.

Besides these cases, it is not likely that a lot of competing organizations will be founded. It is not a lucrative business. The visitors are not paid except for their expenses and perform this task as a professional obligation. To be able to establish an organization implies substantial support within the profession and within the educational institutions.

COPA receives a number of information requests per year from people that state that "an accreditation body for their profession is absolutely essential". After studying what is involved the interest fades rapidly. That is why there are not accreditation bodies in all disciplines.

The majority of disciplines that have accrediting bodies are health-related professions and other licensed professions. For other disciplines with no accrediting bodies, the only type of accrediting is the institutional accreditation.

INSTITUTIONAL AUTONOMY AND ACCREDITATION

This is a continuous place of tension, sometimes drawing more attention than in other times. At this moment there is not an intrusive mode. Mandated testing is loosing grounds. Fortunately the attention for outcomes of institutions is rising, and that is of vital importance. The answer to the question if accreditation is a threat to academic freedom results in numerous opinions. University administrators are more inclined towards standards related to organization or resources. They see those standards as an intrusion into the management of their own institution.

On the disciplinary level the standards are reasonably accepted because they have been put together by experts in the field after some discussion and consultation. They are revised in reasonable periods, so that they keep pace with the current trends which is more or less a guarantee that they can not be to far behind or to far ahead.

Naturally standards are criticized for either inhibiting new developments or being to innovative.

MINIMUM LEVEL

Their is indeed a minimum standard which is market by the pass/fail decision. Among institutions a substantial variation in quality of the performance occurs. That differentiation is not made visible in a pass/fail judgement system.

FUTURE ACCREDITATION AGENDA

Expected issues that will or will continue to be on the agenda:

1 **Confidentiality and disclosure of information.**

It is expected to shift in the direction of more disclosure of information. On the level of institutional accreditation, the regional bodies use various methods to inform institutions of the visiting team's findings. Still the public is not informed. It would be advisable to publish a useful summary document for the public.

2 **for profit institutions**

A rethinking of the way in which accrediting agencies deal with the "for profit institutions". Accreditation in these fields is very young, around 15 years. The model was patterned after the regular accreditation bodies, but the current experience now has led us to the conclusion that this field is different and might require a distinct procedure of accreditation.

3 **H.E. abroad**

The accreditation of branch campuses of US institutions abroad is not arranged in a satisfactory way which will have to be resolved in the near future.

4 **Specificity and generality**

Programmatic accreditation should remain assertive to maintain the right balance between specificity and generality which is one of the important, but eternal, debates.

5 **Institutional accreditation**

The procedures of the institutional accreditation need permanent attention. If the standards are very specific, it will not be necessary to have highly qualified visitors on the teams. But is the standards are general, the level of professional expertise should be much higher.

HISTORICAL NOTES

Just before the turn of the century, the first accreditation was in veterinary medicine, followed by allopathic medicine. The latter was the result of the activities of the American Medical Association. They started to publish a list of medical schools ranked on the basis of the percentage of students who passed the medical examinations in the various states. Simultaneously the Association of American Medical Colleges started a program in which visiting teams were sent out to institutions that asked for assistance in curriculum and procedure revision.
Shortly after that, the two initiatives collaborated. The ranking continued and so did the consultancy services.

Institutional accreditation was introduced later. Three reasons for the establishment of institutional accreditation.

1 **German request**

German universities asked the Association of American Universities for assistance in identifying those institutions who's graduates were prepared for graduate study at the German universities, because too many students had come unprepared. The Association responded by drawing up a list of institutions whose graduates were sufficiently prepared for entering graduate studies here or abroad.

2 **Bureau of Education's first staff member**

The federal government appointed the first full time staff member in what was then called "the Bureau of Education" assigned for higher education. The staff member collected data in order to be able to present a ranking of institutions. The draft results of that ranking were distributed for comments. Some of the college presidents who did not get a high position on the list petitioned the president of the USA (Taff) not to print the list. President Taff decided that it was political unfeasible, so the list was not printed. In 1912 when Wilson was elected president the Bureau asked again for the publication, but this president also refused. The American Association of Universities approached this staff member to devise a list for them, and the list was finally published under their responsibility.

3 Carnegie Foundation pension scheme

Andrew Carnegie made a fortune in steel and established the Carnegie Foundation for the Advancement of Teaching which was established originally to provide pensions for college faculty members. The first problem was the selection of institutions that would be eligible for the scheme. They set up a list according to a number of criteria.

SUMMARY OF THE INTERVIEW WITH DR PATRICIA SMITH

AMERICAN COUNCIL ON EDUCATION
WASHINGTON DC, JUNE 5 1990.

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CAPITOL HILL

The American Council on Education is a multi purpose organization and one of the important goals is influencing the political process in the House of Representatives and the Senate (in Washington jargon: Capitol Hill). On Capitol Hill the federal (higher) education policy is shaped by the bits and pieces that are not left to the states. These pieces however been have influential in the history of the US higher education: the land-grant acts of 1862 and 1890, the serviceman's readjustment Act of 1944, the federal legislation on student loans and grants and the distribution of research money. Besides that, the tax-policy that sets the framework for tax-deductibility of private contributions to institutions of higher learning is decided on Capitol Hill. This often overlooked, influential feature of American higher education is decided by the Senate Tax-writing Committees, which are a part of the Committee of Finance. Private contributions have grown essential for American higher education and tax-deductibility is an important incentive for contributions. The Committee responsible for this issue in the House is the Ways and Means Committee.

DECISION PROCEDURE FEDERAL BUDGET

Congress decides upon the level of funding for student aid and research through the National Science Foundation, the National Institute of Health and a number of other, smaller, agencies.
The decision process is divided into three stages. The first stage is the proposal for the total volume of the budget. This proposal comes form the (now: Bush) administration. Secondly, the Congress Budget Committee decides how much money will be spend on the various issues, and education and research is one of them. The budget, being a block of money, is fragmented into the actual allocations on programs and funds, thirdly, by the appropriation committee. That Committee decides how much money is spend for what, within the limits of the total budget.

The involvement of the American Council on Education is directed at influencing the political decision process. What the student aid and research budget is concerned, the council tries to get as much money allocated for these purposes.

POLITICAL LOBBY

The ACE is an organization representing a large number of organizations and institutions. Much time in the ACE's work is used for internal discussions with its different member groups, to achieve a consensus on what issues should be put forward to in the lobbying process in for instance the Congress. Given the variety of interests represented in the ACE, the internal decisions may take a long time, or sometimes lead to compromises that save both the coal and the goat.

The lobbying proces requires personal contacts with the person(s) to be influenced. That is the background of the great amount of attention paid in the establishment and maintaining of personal contacts with members of Congress and House, and especially with their specialized staff members resulting good working relations. This implies that we socialize with them, make political contributions to the politicians re-election funds and treat them well, like for instance inviting them as speakers on your meeting when they like visibility. These financial contributions are of vital importance. Around certain public issues "political action committees" are formed to contribute to the (campaign) funds of politicians. Universities and their presidents have contributed very little to the politicians' funds. This is not well understood by the politicians and in all openness, influential politicians on higher education issues like Congressman Ford (Michigan) and Senator Pell (Rhode Island) complain about the lack of political contributions. Other groups in education, like the proprietary schools, contribute generously to the politicians, and enjoy a much better position.

Besides social contacts and political contribution, personal presence when decisions are taken is essential for an effective lobby. You have to appear at every event on Capitol Hill that influences h.e. When the commissions are making up a bill and a lobbying party is not present, you don't have influence! In the lobby jargon this is called "doing Halls" and "making deals on the Hill".

The number of staff-members involved in higher education in both the House and the Congress is between two and three hundred. Most influential are the around 25 staff members of the Education and Labor Committee.

PRESENT PRESIDENT ATTITUDE TOWARDS HIGHER EDUCATION

The Bush-administration has set forward a number of policy goals and a number of them are related to education however not specifically towards higher education. Still, the confrontation policy that characterized the Reagan administration's attitude towards higher education did undergo some change. The climate is less harsh, but the financial problem have not been resolved.

STUDENT AID

The present system exists of two elements, a loan program (called after the senator Stafford, the Stafford-loans) and a grant program (the Pell-grants). The loan program is an open end entitlement program, while the grant program is limited to a fixed budget. The grants are distributed to individual students, while the loans are an agreement between the federal government and the commercial banks that are distributing the loans. The Federal government pays the banks in case of a payment default and for the subsidized interest. Students pay an interest rate which is below the market rate and furthermore students pay no interest on the loan while they are still in college. The Federal government makes up the difference for the banks.

The Stafford-loan program has, because of its entitlement-status grown much faster than the Pell-grant program. As mentioned, the Pell-grant is a semi-entitlement. The legislative concept is a formula that can be -and has been- adjusted when the budget is exceeded. The budget has been increased, but it can not keep up the pace with the increase of eligible students.

Individual students benefits have not improved the last few years. The fact that more and more people need loans, causes a growing imbalance between grants and loans. What an appropriate balance is, has been subject of discussion over the years. The discussion has been dominated by financial arguments: it is cheaper to subsidize loans, than to spend money on grants, even when the default rate is increasing.

The Reagan administration has tried in a number of ways to reduce the sharply increasing default-rate of students. One of the proposals was a punishment of institutions who's graduates (or drop-outs) show a record of high default rates. The federal government managed to compute default rates per institution by tracking the bank-record of individual students. Students at those institutions should, according to the proposal, no longer be eligible to borrow. The proposals were, several times, rejected by Congress, but the debate on possible restrictions still continues.

Most of the four year colleges have a relatively limited default rate, and they strongly opposed measures that might endanger their student enrollment. The schools that cause a sharp increase in the default rate are the proprietary (mostly vocational) colleges. They attract very poor minority groups with inadequate educational background, that drop out or in the end, being unemployed, are not able to pay back their loans. Many of them "disappear" into the sub-culture of the US society, living in the streets, without a social security number, or other official documents, unfindable for the authorities.

The present default rate is now up to $ 2 billion. The Office of Management Budget however, accepts this as still being cheaper than grants. The total government contribution to the $ 13 billion loans is now $ 4 billion for default, subsidized interest during the study, and the costs of the attempts to collect when defaulted.

Nonetheless this increasing default rate, the system is maintained for primarily two reasons.

a It is claimed that, however the default rate is high, the proprietary schools provide at least some education to those groups in society that otherwise would not be served, because the regular post-secondary educational sector is not interested in them.

b The influence of the proprietary schools. It is interesting to see that the entrepreneurs of the proprietary schools have a lot of political influence by paying large political contributions.

In reality, many of the students in the proprietary sector have little knowledge were they get into. They enroll for instance in a 6 month program, borrow $ 2600.00 and get a Pell-grant of $ 2400.00. Tuition of these private proprietary schools that promise a golden future will be high, up to $3000-4000, while their curriculum does not provide any more than some basic skills. The institutions have to be accredited, other wise the student is not eligible for student aid. But the accrediting bodies are no guarantee that the institutions provide decent education. Accreditation bodies are "their own people" in beauty schools, bartender schools etc. The institutions became a quite lucrative business, because the supply for government supported loans is unlimited. Many of the students who default were poorly qualified when they started, did not receive valuable education during their study and end up with debts. A defaulter is registered at credit bureaus, looses its possibilities to get credit while the Federal government will chase them until the debts are paid for the rest of their lives.

Strangely enough, the default problem is to some extend nothing more than a definition problem, caused by the inflexibility by the program. The current definition of defaulters is arbitrary. When a student does not make payments for and certain number of days it is considered to be default. After a formal procedure, the government buys back the loan from the bank and will try to get the money back. The present regulations do not allow negotiations on terms or payments. This rigidity is caused by the fact that there are two actors in the field: commercial banks and the federal government. A single actor would offer more flexibility in terms of payback schemes. Since it is the government that will always have to guarantee repayment, government might as well operate as the loaning institution in the future! Default can then become "extended repayment", without a major loss of funds and problems for defaulters.

REAUTHORIZATION

In two years the present higher education legislation on student aid has to be reauthorized. In preparation for that, the House and the Senate, will organize hearings and decide which issues will be in discussion. It is hard to predict what the chances for alternative schemes are because it is all depending on the level of finances available. Most likely the volume of the present Pell- grant will be in discussion. But if there are any resources to enlarge that figure depends on the political will to "manage a bill on the floor" that would increase federal spending. Congressman Ford, a Michigan higher education specialist, is one of the very few politicians to openly opt for the only way to do that: a tax raise.

AFFIRMATIVE ACTION

The policy of affirmative action is embedded in the Civil Rights Act and formed through a large number of court decisions. In the present situation it is not considered allowable to have fixed goals in terms of quota of f.i. minority groups, but every organization is expected to contribute to the general goals of the Civil Rights Act. Anyone who does not approve the policy implemented or proposed can go to Court. For higher education, the affirmative action is the most influential for faculty positions, and student enrollment. In order to avoid court intrusion, many institutions make an affirmative action plan.
The Civil Right Act is currently under revision, and the outcome of that discussion might be of influence to the present policy.

SUMMARY OF THE INTERVIEW WITH DR TED MARCHESE

AMERICAN ASSOCIATION OF HIGHER EDUCATION
WASHINGTON DC, JUNE 6 1990

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ASSESSMENT AND ACCOUNTABILITY

Information about student achievement is a very important part of the evaluation of an institution's performance.

There are a number of questions that states are asking on the issue of student learning.

1 What are the gains in student learning, associated with the experience of the institution and referred to as the "value added concept". It is an intellectually appealing, but in a practical sense almost unusable concept.

2 What absolute level of academic achievement and application of knowledge do the graduates exhibit? In the U.S. there is an elaborate apparatus licensing and certifying of students for professional practice. The dominant role in licensing is maintained by the profession itself. The states have an oversight role to safeguard the public interest by guaranteeing that the standards are high enough and applied equitably.
That issue today is not much in question. Although there is much criticism on the general level of undergraduate education, the skills of accountants, chemists, engineers etc. are not questioned. Generally the idea is that we have good mechanisms in place to ensure that no one gets a license who is not competent.

3 Quality is a process of continuous improvement. Is the institution bringing about better conditions than before? This type of question gained the most attention now especially on the state level. State authorities might not necessarily have the opinion that the quality of higher education is poor, but it could be improved. The states want the spirit of quality as a continued concern of the institutions. Institutions should demonstrate an attitude of the desire to do better and the states want evidence of improvement. The evidence is crucial: states are willing to grant a substantial autonomy to the institutions as to what methods of assessment they want to use as long as those methods are sufficiently convincing and they can be proved that they are accountable for the choices.

Assessment plays an important role in the communication between state governments and institutes of higher education. Especially in those states where deregulation leads to a larger degree of institutional self-governance, as a quit pro quo the institutions do more reporting and accounting to the state. In this respect Colorado was a state with a most interesting development. In New Jersey the attempt to diversify the existing colleges was channeled through a number of stimulation grants for those institutions who would be able to specialize in a particular area.

COMPETITION

Competition is absent in the European higher education setting. The competition in the United States on the undergraduate level, on the basis of their relative contribution to student learning, is not very elaborate. However, other elements cause competition such as: program offerings, campus facilities, etc. Competition is influenced by student choice. If the labor market shows a shortage of engineers, soon higher education institutions will offer courses if the students show interest. Furthermore there is a market of college guide books, and many of these reference guides try to familiarize students with certain university characteristics. The publication of these books became a big industry and every year the number of guides increases. The influence of high school guidance counselors as well as other reliable and unreliable information on the experience of previous students is substantial.

It is important to notice that all the discussion and speculation on competition between institution and student preference, is strictly related to the upper half of the students. For instance, many students from rural areas low income groups and/or minorities with average or poor high school preparation, will have as their possible choice one of the two nearest community colleges. The market does not work for these students, they will not be admitted to many of the institutions nor will they be able to afford the costs of many of these institutions.

The question is how to make the market work. The first problem is related to the information available on quality. It is nearly always based on the information provided by the institution. It would be better to have a mixture of information from external peers and institutional self-study. The most relevant information will come from a cross-institutional analysis in which representatives visit a number of institutions. A weakness of the accreditation procedures is the pass/failure system which has no comparison base. The idea supposes public availability of information, another weakness in accreditation.

Assessment serves several purposes including providing information to future students. Assessment provides information for self-improvement of the institutions, information for the government, information for personnel careers and so forth. Since these purposes are often not overlapping, multiple sources of information should be used. Institutional sources of information might include input by faculty members, by students, institutional researchers, employers comments and other records.

The external forces that shape the system are peer review, market forces or (state) control. They effect research, graduate education, continuing education and extension function, etc. However, none of them applies with any particular force to undergraduate education. The market force to undergraduate learning is very slight. The quality of undergraduate learning is almost the only issue in U.S. higher education that is not peer-reviewed.

Accreditation can hardly serve a function in the strive for improved information on the quality of undergraduate education. They work with suboptimal methods:

- representatives visit one institution
- the results are secret to the public
- reviewing an entire institution, as done by the regional accreditation

More or less reliable information on the quality of the institution should be made publicly available. This will be the only way to improve students' choice on the undergraduate level. College choice on the graduate level is more developed.

FUTURE OF ASSESSMENT

1 Enforcement to Institutions Unwilling to Cooperate

Assessment is done by institutions with a great variety in methods, spirit and success. It can be expected that, especially in those cases in which institutions have not (yet) taken their responsibilities, state government will enforce the use of improved assessment methods.

2 A Better Sense of the Use of the Information

Most states have not yet developed a good use of the information available and are still experimenting. This period of experimentation often leads to requests of more information. The near future will hopefully show an improved use of the available data by the states in their political decisions.

3 Impatience of States

In some states (ex: Tennessee), the slow progress in the application of assessment leads to increasing government intrusion. Not satisfied by this tempo, state are setting up regulations and guidelines. It is likely to happen at other places, if institutions do not take firm initiatives.

4 The Purpose

Assessment of student learning is not a l'art pour l'art activity. It may in the short run respond to a direct incentive of threat from state government, but its strength lies in the application of reliable evaluative data within the institution to perform better and serve its clientele more effective.

SUMMARY OF THE INTERVIEW WITH DR PATRICIA HUTCHINGS

AMERICAN ASSOCIATION OF HIGHER EDUCATION
WASHINGTON DC, JUNE 5 1990

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DEVELOPMENT OF ASSESSMENT

The most difficult assessment issue over the last five years has been the question of student performance. It gained much attention, and it was in a number of states considered to be the missing piece in the control of institutional effectiveness.
But assessing student learning is not only a difficult and controversial issue, it is only one piece out of a large set of concerns and methods related to institutional effectiveness.

The state attention for student learning caused controversy, especially in those cases in which people tried to make judgments about institutions' contribution to student learning as basis for policy decisions. Originally some states introduced state wide standardized tests. Florida is the most well known example. Fortunately, a clear trend of the past time is a removal from a reliance on standardized tests to other more multi- instrumental methods. For example, South Dakota originally mandated that all departments and majors should assess value-added by using a commercial available standardized test in their field. That mandate was repealed for the reason that for many departments there were no adequate tests available. The mandate was replaced and a more open ended one was put in place.

Nowadays there are surveys, assessment centers, simulations, focus groups, interviews, comprehensive faculty designed exams etc. Recently developed are the student portfolio's in which the work of a student is assessed over a period of time to measure progress in learning or skills. These new methods developed from a desire to get a deeper and more accurate look behind that kind of learning. This portfolio should not be just a graduation snapshot, but information that can serve a diagnostic role which looks at the way students get to exit-points. This type of information can be helpful for a better understanding of student learning throughout the university study. It can be summarized in the metaphor: "a movie and not just a snap shot".

CAMPUS INITIATIVES

Much of the "inventions" in the assessment field take place on the individual campus level or in a collaboration set up between a number of campuses. For example a set of methods to assess general education had been designed by a consortium of 20 institutions. In other cases, a number of institutions of multi-campus systems have jointly designed methods (for instance at the Suny University, New York). The fact that the methods are developed on campus has a number of advantages. They are appropriate for the problems they were designed for, and they have local credibility and usefulness.

ACCOUNTABILITY TO THE CONSTITUENCIES

In practice a tension arises between the use of assessment for public accountability and internal improvement. There are a number of different and conflicting views on the possibility of putting together one package for many different purposes. My personal opinion is, that generally the different goals will require different methods that will have to be able to respond to the desire to either improve the institution, or to be accountable to the public. A positive feature is the recent connection of these two goals by one of the external constituencies. Recently collected data shows, that more and more politicians are less interested in the type of information that is provided by a standardized test (scores), but would rather see that an institution defines goals and publicly assesses their outcomes while paying attention to whether the goals are being met. A institution that uses multiple methods is likely to receive more public support for their efforts to be accountable. It remains to be seen if this favorable attitude will be the common future standard. It could be productive for both internal and external functions if this could be achieved.

An example of a multiple-method approach is the New Jersey Test of General Intellectual Skills. It consists of 7 performance-based, standardized, but not multiple choice, tests. The purpose is to measure students' ability to gather, interpret and communicate information. The state will use the test results for planning and funding. Although it might be hard to imagine, the state has announced that they will send back to the institution information that will be helpful to individual students and teachers.

OTHER METHODS THAN TESTING

Tennessee is very active in assessment and trying out different methods all together. As part of a funding scheme they require institutions to do alumni follow ups, students satisfaction surveys and employer surveys. The more programs that an institution has "accredited", the more chance the institution has of receiving additional funding. Peer review is part of program review, but is generally not used on the initiative of a single institution. The University of Virginia has woven program review into assessment. Illinois is also trying to include program review in assessment.

MEDIOCRE INSTITUTIONS

Although assessment in its many forms including accreditation has gained influence over the last two decades, the US higher education scene is still confronted with a considerable number of mediocre institutions. The difficulty begins with the diversity in definitions of quality and the mission of serving many different constituencies. In the US everybody goes to college! It will be hard for the assessment movement to find an answer to that problem, without setting more or less central standards. The latter is in the US higher education not considered to be a favorable proposal.

EXPERIENCE WITH ASSESSMENT

The experience with assessment shows a diverse picture of approaches directed to the variety of institutions. A number of relevant conclusions on a more aggregate level can be drawn.
a.Assessment time-frames have a way of getting out of hand. State mandates which call for assessment to be up running in half a year deny most of basic facts
b.The right order is: identifying desired learning outcomes, establishing criteria for assessing which means heavy investment in faculty is required
c.There is no point in proceeding without faculty support: it is faculty who will be largely responsible for whether data lead to improvements
d.Most faculty are not trained to think about outcomes beyond their own programs.

This leads to a number of more or less concrete solutions for implementation.

- Do have a clear sense of purpose and do communicate that purpose to the institution. Faculty need to know what assessment will and, perhaps more important, won't be used for
- Do have a plan, but resist the impulse to overplan, with every step in a five-year project spelled out in advance. Leave plans open and

flexible, to grow with faculty interests, questions, concern and needs.

- Do seek faculty involvement early on
- Don't begin by asking faculty to approve every detail of a comprehensive assessment plan. Be modest!
- Do let people air their questions
- Do be careful about connecting assessment to some aspects of the context like the connection with faculty evaluation and promotion
- Don't consider faculty development a central and on-going motive.

For successful implementation a number of variables will have to be taken into consideration before a choice can be made between the ice cube implementation strategy or the garden as implementation models. The ice cube-model has three stages: unfreeze, change and refreeze. The garden model is more like the Chinese flourishing 1000-flower approach.

INTERVIEW WITH DR DEREK BOK

PRESIDENT OF HARVARD UNIVERSITY
CAMBRIDGE (MAS), JUNE 16, 1990

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FACTORS FOR PRO- OR REGRESSION

Important variables for the development of top higher education institutions are:

a **Money**
It takes increasing large sums of money to provide institutions of high quality.

b **Competition**
It is important in producing the very best institutions to be forced to compete on all levels.
Nevertheless competition can produce various forms of unethical or unfortunate behavior. The best example of that is intercollegiate athletics. Secondly, competition can produce duplication and unnecessary expense. Various forms of competition should exist and various types of excellence, appropriate to the missions of the institutions should be the motive. At least three major groups in the United States higher education system can be distinguished, that serve a distinct role: the community colleges, the liberal arts colleges and the research universities. Competition should remain within these groups, and even within these groups numerous subdivisions should be made according to the main focus of institutions. Competition out of their circle is inefficient and duplicative and does not function as an incentive for institutions to do better. Institutions without a research function are now often trying to become a research university, while they could serve a much better role as an excellent teaching institution. Competition is an important and positive force if motivated by the right goal. But if the competition is to win a race where you don not belong anyway, the effect will be counter productive. This problem currently exists for a substantial number of institutions.

c **Freedom from detailed state regulation**
The absence of detailed regulations is helpful to be able to foster local initiative and minimize bureaucracy.

d **Tradition**
A tradition of unrelenting commitment to high academic standards and to try to do away with obstacles which interfere with that is a required basic attitude for an elite institution.

Although the United States system naturally has its problems, with respect to the development of top institutions the conditions are favorable. It has no monolithic control. The possibilities of raising money are positive and competition is very much alive.

COMPETITION FOR STUDENTS

Harvard competes on all levels, also on the undergraduate education level for students. The competition for the best students is between the top-institutions which are private for the most part. Harvard loses very little senior faculty, most enjoy the working conditions at Harvard. One of the conditions is the pleasure to work with a student body which is as good as any in the country. To be able to attract the best faculty, the best students are a prerequisite. Competition for students is based on what you have to offer students. We can provide them good education and make sure that the education remains of high quality. We offer interesting extra- curricular activities, good living conditions. Much attention is paid to the evaluation of student opinions. Extra money is invested in the improvement of teaching programs, extra curricular activities, restructuring of the undergraduate program and so forth. Over the last decade $200 million was spent for this purpose. The competition for the best students is the motive behind the investments which secures the intrinsic reward of striving for the best.

If there would be a shift in student attention, and students would not be anxious to go to Harvard anymore, then an intense process of institutional self-examination would occur.

QUALITY OF UNDERGRADUATE EDUCATION

The competition on the level of undergraduate education doesn't work sufficiently because by the fact that there is no common sense nor reliable information on the quality of undergraduate education. We have not yet been able to produce methods to measure the quality of learning. It remains a matter of considerable obscurity which is not productive to the competition. Quality of education is not central in high school graduates decisions of where to go to college.

If we would have better measures for assessing the quality of education, the amount of learning, the extent to which students process, etc.. competition could serve a more important role. Universities would be forced to take their quality into consideration.

The universities are at fault by not paying sufficient attention to their educational programs and not devoting the same afford to research and inquiry about their quality of education that they devote to research. If we would have the same attention for education we could speed up the process and considerably enhance competition for better institutions.

The quality on the lower end of the institutions needs significant improvement. The methods, such as, as accreditation and state program review, which are presently used to do not contribute to the improvement of these standards. Politically it has been very difficult for accreditation bodies to impose sanctions. But a more important reason is that the United States has taken the challenge of educating a larger proportion of citizens than any where else in the world. This requires a broad variety of standards.

GOVERNMENT INTERVENTION

The influence of government in West-European countries on the higher education system is not specifically directed to the curriculum of the content of the curriculum but it is still influential on the system. Governments in West-European exercise central control on faculty salaries and other means which could enhance competition.

U.S. institutions have better development conditions than their European counterparts. In addition to the factors mentioned, two additional advantages should be noticed.

1 Institutions in the U.S. have access to considerably more money than any European university especially in the private sector. Money plays a vital role in the competition to guard competing faculty salaries, equipment, buildings, libraries, etc.

2 The U.S. institutions work with the lingua franca of modern science: English. This is the reason why the best universities in the U.S. will remain the best for at least another generation. U.S. institutions can "buy" their faculty all over the world. The U.K. is unable to take advantage of its abilities in this respect because they do not have enough money, and Mrs. Thatcher has a very

misguided view about higher education. Furthermore, they are not particularly enterprising and looking for the right faculty, although they should have a far more talented population than the U.S. The U.K. universities reputations have gone down substantially these last decades. For other countries it is far more difficult to attract foreign talent if they have to speak German or French, Japanese or Dutch. At least 1/3 of Harvard's faculty in arts and sciences is born, reared and educated in foreign countries.

ROLE OF FACULTY

As societies become more dependant on science, new discoveries expertise, highly trained people, faculty are more and more in demand in society. Consulting often facilitates the transmission of basic scientific knowledge and is also a positive feedback mechanism from the outside world that can help reformulate scientific problems. How much time can a faculty member spend on that? Society is making more demands on the faculty. Modern communication and transportation methods make it possible to respond more effectively to those demands. This creates pressure on the universities. On the counter side to, in many parts of society the notion of absence of faculty is often interpreted as non-producing and lazy behavior.

ACCOUNTABILITY

An important indicator for accountability of private institutions are accountable to students and faculty is the market. For public institutions the situation is different. Because they depend more on state contributions. It is difficult for states to judge if the institution produces value for money. States have difficulty to assess the quality of the institutions and have to use unelaborated statistical methods as attrition rate and other crude indexes.

However, a single answer for the accountability question is not available for the public nor for the private institutions. Accountability can only be measured using various forms ranging from outside visitations to student polls and competition for students. Is it necessary to have better understanding and measures on these issues otherwise or the discussion will remain fruitless. Institutions themselves could do a lot to improve self-evaluation. One method, unfortunately not often applied, is to ask students what they think of their education. For example, at Harvard if the student class indicated that their education was less valuable than a student population did three years earlier, then this attitudinal change would be a signal for action.

SOCIAL AND MORAL RESPONSIBILITY OF UNIVERSITIES

An important and presently underestimated task for the future is to restore social and moral responsibility of universities. How do you bring about that change? The major force is funding. It is the responsibility of private and public sources to use their power and enforce development in this era. External funding agencies have always used their power to meet their own needs or agenda. Private sources spend their money on initiatives that they think are worthwhile, so does the federal government by spending more money to one discipline than to another. Strengthening the social and moral development of institutions is a matter of redirecting priorities. One of the concrete priorities should be to improve teacher education.

Being influenced by the agencies that provide funds, is, one of the most important forces to constructively influence higher education, as long as you are not dependent on monolithic funding. But if one set of factors influence decisions that affect the institution's future, than the institution loses its critical responsibility to be able to say "no".

In the US, the multiplicity of funds will prevent a monopoly of one funding actor. Still, universities have not exercised all their potential freedom to raise money. Only the easily accessible sources have been explored, which is a form to outside will. The freedom of universities could be enhanced if the priorities of funding agencies influences institutional direction.

POLITICAL AGENDA

The first important issue for the future can be determined by answering the following question. What can universities contribute to the improvement of society ?

Secondly, there is a concern that too many institutions in the US are trying to excel in an appropriate mission by copying the model of the research universities. Other standards and criteria for excellence and recognition must be developed besides the present research oriented ones and non-research institutions should be inspired to achieve a different set of goals.

A third point is that a tradition of assessing and evaluating the quality and effectiveness of teaching should be established. Competition should be more directed to the quality of learning. Especially the quality of the education at the undergraduate level is a point of concern. The accreditation system has not worked particularly well as a guardian against poor quality. Too many institutions are accredited that in practice are not competing with anything. We should be able to motivate these institutions to do better and find a way to improve the information on the quality of institutions and programs to students. If more adequate measuring sticks could be developed, the incentives could be directed in a ore precise way to quality improvement.

The issues that attract the most attention in the popular debate are: the quality of undergraduate education, the loyalty of faculty to their institutions, and the rising costs of tuition. The latter issue is overblown.

EUROPE

What could the message derived from the US experience, to the European continent approaching the year 1993 be? Most important is to internationalize as much as possible in terms of language training, the encouragement of international student mobility and international research. Secondly, to study the attitudes of institutions towards their responsibilities for students. A striking difference between the US and European institutions of higher education in that respect is that the US universities show much more responsibility for the lives of students. Often in European institutions the student in not noticed as an individual in that nobody knows she/he is there, nobody seems to care that he/she is there and nobody seems to care what she/he does. That importance shows little active institutional responsibility to an important constituency: the students.

SUMMARY OF THE INTERVIEW WITH DR JOHN K. FOLGER

VANDERBILT INSTITUTE FOR PUBLIC POLICY STUDIES
VANDERBILT UNIVERSITY,

NASHVILLE, TENNESSEE JUNE 13 1990

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THE USE OF INCENTIVES FOR FUNDING

The use of incentives in the funding mechanism, has received a growing interest in the US higher education over the years. They can be distinguished into two categories, incentives within the allocation formula's, for instance output funding, and incentives which are tied to the budget, to achieve specific goals. The latter could lead to tension in the state government regarding institutional relationship and institutional autonomy. But as long as issues of content of teaching and research are left to the proper authorities, the faculty, the use of incentives next to the formula, show a legitimate concern of the constituencies with regard to certain outcomes of priorities. The growing concern of public authorities to assure value for the dollar is a force that inspires the authorities to take action.

A few examples of the type of goals which states are striving for through the use of incentives:

- increasing minority participation;
- decrease of attrition rate;
- improving the basic skills of students.

The experiences with the use of incentives have shown that the layer that is addressed within the institution is important. If any of the above mentioned goals are to be reached, the incentives have to be directed at the departmental level rather than at the institutional level. Incentives should result in effective adjustment of faculty behavior. Only the faculty is able to effectively increase minority participation, decrease drop-out and increase teaching quality. Reaching the departmental level by the state touches the delicate level of academic freedom. States mostly have an unwritten understanding that they will not go detailed into the decisions of research and teaching. For other goals, other layers might have to be addressed.

SUCCESS OF INCENTIVE FUNDING

Other funding incentives can only be effective when they are directed to accepted goals. The example of the most successful incentive, underlines that. The most effective incentive has been the stimulation of matching money for raising outside endowment. The goal is accepted in that institutions want to raise extra money anyway, and it is easy to stimulate the institutional administration to do so.

In reality however, legislators, governors, state boards want to stimulate many other goals through incentives that have little support on campus or are difficult to direct to one of the institutional layers.

In some cases the effect of incentives can be enlarged by feedback of the results. For instance in the case of the politically decided goal for improved teaching by using an assessment system that provides information on institutional quality. Potentially an objective assessment system is very threatening to institutions. It could provide information that makes clear that educational quality is not as good as pretended or advertized. This could

have serious consequences to the student enrollment, which is again connected to institutional funding.
In a time in which the improvement of undergraduate teaching is debated, it is a pity that such an open assessment system does not yet exist. The only information that might be relevant is the accreditation-judgement. But the judgement are a non-public affair.

INCENTIVES WITHIN THE FORMULA'S

The establishment of incentive-funding besides the formula funding raises the question why these incentives could not be build in the regular mechanisms. In order to understand the development of these funding schemes, some information on recent development in the US allocation systems might be helpful.

In the beginning of the 1980s, when a sharp decline of students was expected and public funds were going down, budget reductions were often proposed in the form of reductions across the board.
This was not experienced as an elaborate way of doing business, and furthermore it was no incentive to improve institutional responsiveness. This led to the strengthening of output elements in the basic allocation mechanisms. The problem was, however, that serving so many different constituencies in terms of quality standards makes it next to impossible to define standards which are central to funding.

Is it possible to build in more incentives into the original funding model? More and more states are introducing this method especially to control spending from the states. In some states, Colorado for instance, bureaucracy in terms of limited freedom of spending, has been eliminated and replaced with other measures that relate to outputs and were politicians have confidence in which are not subject to excessive gaming. An output measure should take into account that the finish-line for some selective institutions is much harder to reach, than in less selective colleges.

TENNESSEE PROJECT

Tennessee has developed an incentive funding program to stimulate quality. In practice 5% of the total volume of the state grant for higher education is allocated to the institutions on the basis of the institutional scores on a number of pre-set categories of goals. Each of the goals is fragmented into a number of indicators. The indicators are weighted per institution and scored, up to a maximum of 100 %.
The incentive fund is appropriated as a lump sum. The six main goals are:

1 Increase the proportion of institutional programs that receive specialized accreditation
2 Increase the level and gains that students show on ACT-Comp scores
3 Improve the scores of seniors on licensing and other exams in their major field
4 Increasing alumni satisfaction (alumni surveys)
5 Remove weaknesses revealed in their programs
6 Developing and piloting new assessment instruments.

Especially the second goal, the ACT-Comp score, has been a controversial instrument because it is a general skills oriented test which measures the ability to think critically, to write a.s.o, while the undergraduate education is a more "contents or knowledge" oriented general education program. Furthermore the tests were presented to a sample of students by the institutions. In practice this could lead to misinformation if an institution did not draw a randomly chosen sample or if the chosen students were not adequately motivated to do the test. Rules had to be set on this issue. Due to this type and other development the guidelines for the different measures expanded from 5 to over 30 pages in a decade of time.
Leadership within the institutions learned over times to work with the system and appreciate it especially because it has a clear influence on the

political leadership. And indeed there is strong support on the central state level for the incentive feature in the budget, largely because it satisfies the accountability expectations of the legislature and the governor.

The incentives in the Tennessee project are directed to the institution. The institutions are responsible for the top down distribution of the incentives. Most persuasive internal measures to stimulate improvement within the institutions are not test scores (this test is not testing the objective that I think is important) but peer-review. This implies that it is difficult to combine the formative purposes for internal improvement with the summative purposes for external accountability. They don't necessarily fit together: what is impressive for accountability purposes, may not be helpful for internal improvement, and what is liked for improvement may be of no value in terms of accountability.

According to a number of evaluation studies surrounding the project, the success has concentrated on the improvement on the goals 1, 2 and 3. But there is little evidence to suggest that the incentives have caused major changes in the instructional programs of institutions.

The bureaucratic cost of the Tennessee program are a point of consideration, but the system creates acceptability and credibility however against a substantial cost.

THE MARKET

The functioning of the market for the undergraduate level is not very strong. Little relevant information is available, a large portion of the institutions is not accessible for the majority of students, and costs limit possible mobility, either because of high tuition rates at private institutions or out-of-state rates in the public sector.
These conditions make if difficult to have the market work in a adequate and free way. However, it could be improved by channeling more money through the students. That will have the overall effect of stimulating the market. A voucher system in the form of student- aid could be a stimulating factor. Minnesota, comparable in size and population with Tennessee, has about ten times as much state student aid available which is an important factor. The places were the effect of the market and the interest of the individual consumer seems to be the least influential, is in public institutions which have more students that apply than they have to admit. They apparently have to cater particularly to the students and they tend to less concerned and sensitive. The private institutions, having a very high tuition, tend to be more attentive to the students.

MINORITIES

It has been an on-going attempt to try to enhance minority participation in higher education. A variety of approaches have been used, including financial incentives. One is the award of special minority scholarships or tuition waver. On the state level special programs are designed. Tennessee is now exploring an incentive program which will provide incentive funds to institutions in order to be able to attract more minority students and to help them overcome deficiencies by providing them peer tutors. This will help students both at the entrance level and could enhance the retention rate. This type of help draws the basic question if it is the responsibility of the country to provide just an opportunity, with an open door policy versus enhancement programs which improve people's changes to get in and be successful in the study.

The appointment of minority faculty is an important stimulus as they serve as a role model and images.

INTERVIEW WITH DR ANN TOMLINSON

BUREAU OF INSTITUTIONAL RESEARCH
THE UNIVERSITY OF SOUTHERN MISSISSIPPI
LAUREL/HATTIESBURG (MIS), JUNE 25, 1990.

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1.a **What has been the development of institutional research over the last years.**

b **Did it develop to a scientific body of knowledge, or just a tool for institutional management.**

a The purpose of Institutional Research is to answer specific questions about institutions of higher education. It is applied research which involves collecting both quantitative and qualitative data and evaluating this data within a context to generate useful information for the management of universities. often the process results in problem indentification and can contribute to decision-making grounded by fact, rather than personal inclinations or preferences. While institutional research can enhance university management during periods of students growth with adequate financial sesources the period of the 1980's or the "status-quo decade" described by Clark Kerr, information becomes more critical during times of budget cuts and freezes. In addition the public is demanding quality and accountability. Institutional survival will depend on management and decisions which are based on accurate information about educational outcomes and the cost effectiveness of programs and services. The 1990's have begun with many states experiencing economic shortfalls at a time when universities are confronted with record high enrollment.

As technology in the 80's made pc's more available, sophisticated, and user-friendly the sheer amount of data collection has proliferated. It is now possible and common to count the frequency or quantify almost every aspect of university life. It is my opinion that institutional research is moving from a more quantitative approach to a more qualitative or analytic information base. Will this trend have a positive impact on university management? In reality the value of institutional research is still dependent on the wisdom and integrity of the user in whatever environment.

b Is institutional research a tool or scientific body of knowledge? It is difficult tot separate institutional research from the institutional researcher. The importance of the information makes it necessary for some one to be responsible for understanding the data base and communicating it into relevant information to the appropriate audience. The institutional researcher needs to understand the principles of good research, as well as have an appreciation and perspective of an academic community. As a faculty member with over ten years teaching experience, I have a personal bias that support offices can be more "supportive" when the roles of the faculty, students, and teaching are understood and experienced. The process of completing a dissertation centainly familiarizes one with the process of research. Without these perspectives, however they are attained, perhaps it would be more difficult to identify problems from the data analysis and make recommendations central to the mission of teaching, research, and service.

2 **Which issues have attracted the most attention of institutional research over the past decade (monitoring the publications, presentations at seminars, etc). Is there a visible trend towards certain issues and topics?**

The issue of enrollment management certainly dominated most of the last decade. Enrollment management developed largely from a concern of maintaining enrollments by marketing universities, personalized recruitment practices and retention efforts reflected in University 101 courses. Marketing practices; such as, targeting student populations and matching individual educational needs to specific institutions made is necessary for institutional research offices to communicate institutional charcteristics meaningfully. Retention of students necessitates " cohort" tracking to analyze students' progess. Projecting enrollments became another important challenge. Predicting university environments has proven difficult because of the impact of external factors of economy. employment, technology, politics, etc. The trend of enrollment management resulting in a more coordinated sevices with a focus on the student which is of course our raison d'etre.

3 **What are the current issues of the institutional research agenda and what are the expected issues of the future.**

The current trend in higher education is on stratigic planning and outcomes assessment. Shrinking financial resources has produced a need for institutional strategic plans based on accurate information and cost efficiency studies. Since strategic plans begin with baseline data, the plan can only be as good as the data.

Measuring outcomes of the university experience is a result of a public demand for accountability. This trend will intensify as our society demands a better educated and highly trained population to keep the U.S. competitive in the world market of today. Assessing student growth and development may be the most important role for higher education because the results could really bring about dramatic educational reform.

4 **How influential is institutional research within the institutions and how are the results of institutional research used in the institutional policy?**

Institutional research is only as effective as the staff within the institutional research officie and elsewhere on campus. The influence of institutional research is dependent to a great degree on communicating the data with sufficient detail and yet general enough so that the public can understand. Communication should include a three-step comparative analysis:

a interpretation of the data;
b implications within the specific context, and
c recommendations which should be relevant to institutional policy.

5 **Does institutional research have effect or influence state higher education policy (or other funding or governing bodies)?**

Yes. Institutional research provides the information to state governing bodies. It is the responsibility of institutional researchers to assure that the data elements have been defined in a standard format which is comparable to peer institutions. The institutional research data which are reported to state and federal funding agencies are the basis of funding formulas and to a large extent determine the amount of financial funding the institution receives. The data must be organized to meet the agency's specific requirements or definitions.

6 What is the role of institutional research in the process of institutional performance assessment (program review, data collection, accreditation, etc.).

Performance assessment or institutional effectiveness has become an expectation or requirement for most accrediting agencies. In general, the information required for this process involves pre-test and post-test type data. Student performance must be measured at the begining of the postsecondary experience and again at graduation. The information required for this process is complex, large cohorts of students must be tracked by computer. Assessment is also comprehensive because it requires a coordinated effort of many people from administrators, faculty, students, staff, etc. The second aspect of comprehensiveness is that the entire curriculum which includes a great variety of programs must be assessed. The quantity of people and programs alone makes the volume of information a massive endeavor.

The role of institutional resarch at a minimal level might be defined as providing data which meet the definitions of each accrediting agency. It is important to recognize that each accrediting agency requires information in a specific format which may of may not match institutional reports and records. For example, full-time equivalent students is determined by institutional or state formulas which may differ from the formulas used by each accrediting agency. The accrediting agencies don't just use institutional data which is readily available. What this means is that the institutional researcher must regenerate the same information in different formats for every accrediting agency. Every report begins with a specific set of definitions and formulas which are probably unique in some way.

A maximal level of involvement is in planning assessment projects and coordinating campus efforts. Since accreditation is particularly an American approach in education, perhaps it is appropriate to outline the basic institutional self-study process as follows.

1 Define and reaffirm institutional mission
2 Development and review of program goals and objectives
3 Determination of methodology:
  - instruments
  - design
  - sample
  - procedures.
4 Data Analysi.
5 Review of Results
6 Recommendation to strengthen weaknesses
7 Evaluation of recommendations, (Nichols, 1987).

Realistically institutional researchers could be involved in all of the aspects. Professional accreditation is a process which provides and opportunity to become better acquainted with that particular program and faculty in that area. The process involves so much work and so many people that it is definitely a time of academic community. Institutional research is sometimes discovered through the accreditation process. In other words if institutional research did not exist before accreditation, it evolves in the process.

CONTRIBUTION *) BY DR CLARK KERR

PRESIDENT EMERITUS
THE UNIVERSITY OF CALIFORNIA AT BERKELEY
BERKELEY, CALIFORNIA

MAY/JUNE 1990

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* the scheduled interview could not take place on the agreed date. Dr Kerr gave a written reply to the basic questionnaire.

UNIVERSITY OF CALIFORNIA, BERKELEY

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CLARK KERR
PRESIDENT EMERITUS

INSTITUTE OF INDUSTRIAL RELATIONS
BERKELEY, CALIFORNIA 94720
(415) 642-8106

June 18, 1990

TO: Olaf C. mc-Daniel

FROM: Clark Kerr

RE: Responses to Delphi research project interview questions

1. Strong aspects of the U.S. higher education system are:

   (1) universal access

   (2) great diversity among institutions and programs

   (3) excellence of training and research at highest levels

   (4) autonomy of individual institutions.

   Weak aspects are:

   (1) the low rate of transfer from two-year community colleges to four-year institutions

   (2) the decline of the importance of the Liberal Arts II (Carnegie Classification) institutions which have historically provided diversity in American higher education

   (3) very high number of increase in centralization of public institutions into systems--about half of all institutions are within centralized systems.

Challenges are:

(1) introduction of more underrepresented minorities into student bodies and faculties without too great a decrease in quality and funding of academic activity

(2) the great need for more Ph.D.s to replace retiring faculty members to take care of small growth in student numbers

(3) the replacement and renovation of physical plant, much of it built in the 1960s and early 1970s. These groups are organized around grievances of individual groups and appear to be inclined toward the quick use of violence (as here in Berkeley).

2. See the above comments.

3. The Federal government will continue general role of vision of student aid and particularly will be required to increase the amount of grants based on need. The Federal government will also be required to change its R&D program to put less emphasis on military programs and more on economic programs to offset R&D programs in the universities.

4. I rate the performance of the states overall very good but view the current trend toward centralization by the states as counterproductive.

5. I rate the best quality assessments as being:

(1) which institutions attract the best students

(2) which institutions attract the best R&D support in competition with one another. For Europe, I would say the same.

6. I rate accessibility to higher education overall as excellent.

I believe the transfer rights could be improved in the U.S. significantly and in Europe on a massive basis.

7. a. Yes

b. To have a combination of intense competition among institutions and several sources of funds for which they can compete

c. The strongest innovative forces are: the changing student market, the changing research agenda and the entrepreneurial administrators. The most conservative force is the faculty.

8. The main role of faculty is to control academic programs.

The most important measures in personnel policy are internal peer review and an active national market for high-level talent.

9. The role of institutional mission statements is two-fold: (1) to give members of the university community an opportunity to talk together about the future they would like to achieve; (2) to use for public relations purposes. Many, however, are so poorly developed and so self-serving that they are useless.

10. The most prestigious institutions are private among the Liberal Arts I colleges (Carnegie Classification) but not in other classifications. Among the leading research universities, about one-third are private and two-thirds are public.

If public institutions were to be reduced or abolished, the result would be chaos.

If the private institutions were to be reduced or abolished, deterioration would occur in the private sector but also the public.

11. My comments are based on experiences as Chancellor of the University of California, Berkeley, President of the University of California (system), Chairman of the Carnegie Commission on Higher Education and the Carnegie Council on Policy Studies in Higher Education, director of a series of studies on presidential leadership and governing boards for the Association of Governing Boards of Universities and Colleges, and Co-chair of the Education Commission of the States Task Force on State Policy and Independent Higher Education.

CONTRIBUTION *) BY DR ELAINE EL KHAWAS

AMERICAN COUNCIL ON EDUCATION
WASHINGTON DC, MAY/JUNE 1990

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* the scheduled interview could not take place on the agreed date. Dr El Khawas gave a written reply to the basic questionnaire.

U.S. Higher Education: Present and Future

U.S. higher education today is quite healthy if one judges it on its internal dynamism, willingness to confront problems and innovate and in its overall performance in teaching, research and public service. Compared to the educational systems in Western Europe, the mechanisms for decision-making -- especially differences in who initiates change and who sets broad policy direction -- are unusual, but the broad issues -- of providing quality education to a sizeable proportion of the population with diverse preparation and purposes, and within financial constraints -- is much the same.

The greatest strengths of American higher education include:

- Strong, continuing demand for higher education, including growing interest in practical, flexible programs (e.g., master's degrees; community college courses; courses conducted with business and industry).
- Well-managed institutions, operating with considerable autonomy but also with vigorous forward-looking objectives.
- Substantial support for higher education in the business community, anchored in the participation of business leaders on college and university boards as well as in a multitude of university-industry cooperative projects.
- Increasing attention to outcomes, i.e., to student achievement and to other evidence of institutional effectiveness.

U.S. colleges and universities have confronted a variety of serious issues in the last decade or so, but have adopted an activist response to those issues. Reform "movements" abound today, many focused on the curriculum, others devoted to enhancing opportunities for racial and ethnic minorities or to numerous other purposes. Colleges and universities, feeling challenged by the threat of decreasing enrollment due to demographic change, have responded with diverse efforts to strengthen their institutions. This process has resulted in a healthy increase in functional differentiation among American institutions, especially those offering four-year degrees; although few mergers or formal changes in status have taken place, many American colleges and universities have developed particular "specialities" or "niches" in the broader academic market. Some now pride themselves on being "regional" universities, working closely with and serving the needs of their area's industries and municipalities. Some have adopted curricular distinctiveness, offering a special strength in international studies or in cooperative education. Others offer a thoroughly computerized campus or weekend colleges and other innovative mechanisms for delivering education.

The system's weakness are serious ones, including:

- Uneven levels of preparation and motivation among students;
- Costs outpacing revenues on a long-term basis;
- Substantial inertia regarding curriculum change;
- A sharply competitive academic labor market for faculty emerging in the mid-1990s and lasting more than a decade.

The most critical long-term issue facing U.S. higher education is that of costs and productivity. Colleges and universities have worthy goals and are reasonably efficient in carrying them out, but the costs of doing so are rising more rapidly than sources of available revenue. The public purse is increasingly called upon to respond to other needs -- funding for elementary and secondary education; highways and bridges and other transportation needs; and an aging population -- so higher education will be constrained in what resources it can receive from public sources. At the same time, much as the U.S. is celebrated for its private fund-raising activities, many campuses recognize that they are already receiving the most that can be expected from private sources and cannot depend on such fund-raising for any expanded financial role.

2. Distinctive Characteristics of U.S. Higher Education

Existing literature accurately portrays the most distinguishing characteristics of U.S. higher education as including:

- institutional autonomy;
- multiplicity of funding sources;
- diversity in all aspects;
- competition;
- great accessibility.

I would add two more: (1) flexibility of educational offerings, including many "second chances" and (2) a penchant for problem-solving.

The flexibility is often missed in descriptions of the formal structure of higher education. But "second chance" options and opportunities to change directions abound, including: an alternative high school credential; considerable lateral movement among types of institutions; procedures for, and special programs to facilitate, late entry into education by adults; allowances for interruption and later resumption of studies; relatively easy changes among most academic specializations; and systems for recognizing learning acquired in nontraditional settings. The student who spends four years at one university, without interruption and studying for only one major field of specialization, may well be the exception rather than the rule in the U.S. today.

There's no claim that U.S. higher education has solved all of its problems, but it's not for want of trying. Ask any college adminstrator what's new on her or his campus; look through the (typically bulging) weekly newspaper, The Chronicle of Higher Education. Task forces and committees are at work on most college campuses looking into particular problems and invariably emerging with a list of recommendations. The number of national conferences offering expert advice on this and that academic issue are too numerous for even the most stalwart traveler to attend. It's part of the mindset of most college administrators to do more than administer their programs; they also will have an agenda, a pet project or issue that they intend to work on during the next few weeks or months.

3. The Role of the Federal Government

At this point in our history, the American federal government plays two major roles in higher education: (1) it is the major source of research funds and, in this capacity has far-reaching influence on the direction and extent of basic and applied research conducted in the U.S.; and (2) it is the primary source of student financial assistance, distributed by national criteria of financial need and available to students without restrictions on what educational institution they will attend.

These two roles will continue, although some observers believe that the relative impact of the federal government on student financial assistance will continue to diminish. Certain states and many colleges and universities themselves have responded with their own forms of student financial assistance to meet a growing gap between student costs and what the federal programs will provide.

It is worth noting that both of these federal roles involve distribution of funds on objective criteria (although the research review mechanisms are sometimes challenged) and the funds are directed to individual recipients (research investigators or students). The universities and colleges do not have control over how they are spent, nor do the grants have any "strings attached" in terms of broad policy directives for the colleges and universities. It is indirect support, not direct support for higher education.

Small programs of direct support also exist, (e.g., to support innovative projects or international outreach). Two such funding areas are likely to expand in the future (but not to the level of significant nationwide influence): support for graduate fellowships, and funding to improve science instruction in elementary, secondary, and higher education. The student financial aid program will continue, probably covering a decreasing share of student costs. There has been some tendency to add restrictive institutional requirements to the student aid program, requirements that are annoying and add paperwork but that, as yet, don't represent substantial intrusion into college operations; thus, colleges administering federal financial aid programs now must have students certify that they have registered for military service and that they are "drug-free."

4. The State Government's Role

The trend, clearly, is toward increased state involvement. This is rather universally considered a bad development by college and university administrators. They have legitimate complaints that state agencies sometimes "micro-manage" by stipulating such small matters as where supplies are to bought or whether very small amounts of money can be transferred from one use to another. In other instances, college administrators can point to educational nonsense imposed upon them by impatient legislators. For example, in Florida, there is the Gordon rule, which mandates that all Florida college students must write 10,000 words (or is it 8,000 words?) during their first two years in college.

The reason for increased state involvement is often said to be a call for accountability, for a way to defend state public spending to the taxpayer. That rationale is easily offered, perhaps because it is so easily defended. But there's a broader view of events as well. There is a crisis of financing for higher education in the U.S. today, that is a result of a collision between two strong forces: steadily increasing higher education costs (as colleges and universities attempt to meet rising expectations) and similarly rising costs for public spending on other sectors, especially elementary and secondary education; needs for prisons, for better transportation and for up-to-date telecommunications and other infrastructure needs; and for services to a increasingly sizeable aging population. There are not enough public funds to go around to pay for all of these different needs, yet the population has demonstrated, through several recent referendum votes, that it does generally not want to spend more on public services. In this broader context, increased state involvement can also be interpreted as a way for state officials to hold back the pace of spending increases for higher education. Increased state scrutiny and calls for greater productivity go along with a message that there will be a slower pace of funding increases.

The most productive accommodation to this new reality -- for both states and institutions -- is based on a mutual recognition of what each partner can do well. If productivity gains are needed, it will not be achieved by a "top-down" mandate. The nature of the academic system is that changes have their best prospects when they are generated by the faculty, especially a small number of reform-minded faculty. A state agency should start from this reality and limit its efforts to direct change with a strong hand; it can set goals, and timetables for changes, but it also would do well to design incentives for the small groups of faculty who would welcome the opportunity to improve their institution's performance. Seed-money for planning and trying out innovations would be appropriate and, probably, well-spent. Mechanisms for hearing from (i.e., really listening to) the faculty view of how education works would also be useful, via workshops or forums attended by state officials and faculty alike. The faculty are the ones who see the real operating problems in education; they are the ones "on the factory floor" and are most able to describe what changes are needed and what changes would not work.

5. Quality Assessment

Efforts to introduce quality assessment have often reflected a multiplicity of purposes. Different techniques vary in their ability to serve these various purposes, so an initial imperative for any planner or policymaker is to choose among the purposes that can be served by quality assessment. Is the purpose to spur improvement? to identify unacceptably weak programs? to recognize and reward excellence? to develop a "merit" basis for allocating scarce funds?

Two aspects of the experience in the U.S. provide useful perspective. First, the assessment/evaluation methods that have worked best are those -- such as are found in accreditation and in the use of outside visiting committees -- that are based on a process and procedures that college faculty and administrators have developed and in which they actively participate. It is self-regulation, which is not easily trusted by outsiders who wish for a system they can control and direct. But the test is one of relative efficacy: in view of the highly decentralized way in which education works, and the diverse means by which education is accomplished at the postsecondary level, a self-regulatory, faculty-driven process is the best system available, with the best prospect of correctly identifying problems and guiding resources to address those problems. There are hazards that it is too "soft" a mechanism, too permissive and forgiving, but these hazards can be offset with a sufficient degree of public scrutiny about the process, the standards that are employed and the results obtained. In this light, methods worthy of future attention include the mechanisms of accreditation (bearing in mind that some accrediting bodies have more demanding processes than others), as well as similar procedures that focus on the use of outside experts to review departmental programs and assessments developed by faculty in those programs.

A second perspective from the U.S. experience is that performance indicators (including institutional rankings) have greater meaning and value at lower levels of operating reality and, conversely, offer extremely restricted value at high levels of aggregation. Higher education is sufficiently diverse as an operation, and its students sufficiently diverse today too, that broad indicators -- describing an entire system, a university, or even one department's students -- have so many embedded sources of possible distortion that they do not warrant use for any meaningful purpose. It's a worthy aim, to develop a set of simple, useful indicators. In practice, developing a fair indicator and then, especially, accurately interpreting why there is change in an indicator, is an extremely time-consuming, often impossible task that takes time and energy away from more important issues. When, instead, at the disaggregated level, department chairpersons are given the tools for developing their own department's performance indicators, such indicators can be extremely powerful tools for improvement and productivity gains. In such a setting, the department chairperson is able to adapt the "cold" numbers to a real setting, to understand what's behind the numbers and to relate specific changes and events to changes in the indicators. If the department chairperson cares about improving the performance of the department, such indicators can be extremely effective.

6. Access in U.S. Higher Education

Wide access to higher education stands as a core value in contemporary American life. It is an ideal, of course, and its achievement is flawed in many specific ways. Each failure, in human terms, is a serious shortcoming. In larger view, however, it is fair to say that the U.S. has achieved an enviable degree of access and, too, it has mechanisms in place that ensure a high degree of access.

The bulwark of access in American are public (state-supported) four-year colleges and universities. They offer good education that is well-regarded in the wider economy. They offer this education at reasonable costs to students; tuition is charged at most of these institutions, but tuition averages about $1,700 for two semesters of study at public institutions. These institutions are numerous, and generally within "commuting" distance of most of the population. Together, they accounted for 66 percent of all baccalaureate degrees awarded, 59 percent of all master's degree, and 65 percent of all doctorate degrees awarded in the U.S. in 1986-87.

Another important element of access, mentioned earlier, is the elaborate structure of "second chances" that are available. Distance learning, and credit for experiential learning could be mentioned too, as well as college-level instruction via television or college-level instruction held in prisons. Today, we celebrate adults who receive college degrees late in life, and most adults who did not attend college earlier in their lives have realistic options available to them if they wish to undertake college study later in life.

An "elite" sector of higher education certainly exists in the U.S. but, despite the fact that it gets the lion's share of media attention, it accounts for about 5 to 10 percent of undergraduate enrollment. Important too, is the fact that academic merit is the primary factor governing admission decisions to elite institutions and these institutions spend a considerable amount of their own funds to help needy students attend their institutions. This does not deny that, for a student from very restricted life circumstances, it is extremely difficult to assemble the proper credentials to merit admission at these elite schools.

Stated more broadly, the degree of access must be defined in some specific manner. The most typical indicator is the percentage of a high-school leaving group that goes on for postsecondary study. On this statistic, the U.S. has a long and proud record. A more restrictive indicator, one that is increasingly talked about by business leaders, is the percentage of the population that has a college degree. Here, too, the U.S. ranks well among industrialized nations. Another, more compelling indicator might also be devised, although it is not readily available: the percentage of the population that is able, because of a higher degree, to achieve substantial social mobility in one generation. Is it rare or typical that a young person from limited social circumstances is able to obtain an educational credential that provides passage into a satisfying and economically successful life? I'd estimate that, on such a measure also, the U.S. would be considered to be achieving a good degree of access.

Speaking more personally, I would not be content with the level of success that any of these measures would show. Instead, I would prefer to call attention to the many steps in the educational pipeline where the system currently fails the student from limited circumstances. We have a substantial unfinished agenda.

7. The Adaptiveness of American Colleges and Universities

Adaptiveness and responsiveness to new social demands are extremely appropriate descriptive characteristics of American higher education in recent decades. Since the end of World War II, colleges and universities have been confronted with -- and have responded well to -- the challenges of new populations, enormous enrollment growth, changing technology, and demands for ever more relevant education.

The characteristics that contribute to a responsive style are not easily identified. Some contributing factors might include:

- The flexibility that faculty have in how they use their time
- A tradition of self-study and continual improvement of each academic department's program, which includes a joint discussion among all members of the department
- A faculty ethic that prizes teaching excellence (an ethic that may be threatened today by a shift toward research and administrative endeavours)
- Direct and informal faculty contact with students, which offers the faculty member affirmation of his/her role as an educator (also a tradition that some feel has been threatened by larger classes and a shift toward research)
- Institutional funding and services that provide essential support for departments and faculty so that they can concentrate on the academic program
- An abundance of small grant mechanisms, allowing individual faculty or groups of faculty to "get a start" on a new project or an innovative teaching approach

- The existence of many voluntary associations that are innovation-minded and that offer expert advice and resource materials that can be adapted to institutional circumstances

The importance of the latter -- the many voluntary associations that call meetings, circulate newsletters, and maintain member networks -- should not be underestimated. And note, too, that these associations are generally absent from the higher education setting in other countries. At their best, they play a critical role as a catalyst for change. They enable groups of faculty at one college to hear about how other colleges have approached a particular problem; and provide a reward structure for innovation by offering a platform for faculty to describe improvements they have made in their educational offerings, whether by presenting papers at meetings or through published newsletters and journals.

8. Institutional Mission

In the U.S., institutional mission statements are, in most instances, documents generated by planners at a specific university or college. They are affirmed and ratified by the university's governing board, but in essence they represent statements by each institution's leaders about their aims and aspirations for the institution. Although these types of statements are often ignored or given lip service, when used well, they can be effective in expressing a university leader's visions for the university, the directions that he/she would like it to take, and the tempo of change that is necessary.

Mission statements can also be developed by state legislatures and state agencies. This is especially done to set boundaries between one university and another or between one type of institution and another. One key example of the "boundary-setting" role of mission statements is found in the master plan adopted by the state of California. It clearly demarcates the segment of the student population that is to be served by each of the different sectors of public higher education in California and explicitly allocates the doctoral training to only one sector. Another clear boundary-setting mission statement is that given to community colleges in the U.S.; they may be responsive community educational organizations in the broadest sense, but their mandate is limited to offering academic programs for only the first two years after high school.

9. The Role of the Public Sector

The public sector plays a vital role in American higher education. As noted above, it accounts for about two-thirds of all baccalaureate and higher degrees conferred by American colleges and universities. Community colleges in the U.S., which are also public, provide a rich array of occupational, technical, and general education programs that serve both their graduates and American business and industry very well.

It is not accurate to say that most prestigious institutions are private. The University of Michigan, the University of California at Los Angeles and the University of California at Berkeley are indisputably world-class institutions. Other strong state universities can also be named. In science especially, public universities have an outstanding, and prestigious, record of accomplishment.

Prestigious, private universities in America are long-established and well-known internationally. And they protect their prestige carefully, in part by choosing to excel on a limited range of possible accomplishments. They are a source of pride to Americans, but their contribution is restricted and in no way can be compared to the different, but still prestigious accomplishments of some of America's state-sponsored universities.

annex 1 additional notes Ed Hines

DELPHI RESEARCH PROJECT -- OUTLINE OF RESPONSES

Prepared for Olaf C. McDaniel, University of Amsterdam

by

Dr. Edward R. Hines
Professor, Educational Administration
Illinois State University
Normal, Illinois 61761
309 438-5422
May 10, 1990

Note: Responses below are patterned after interview guide, Delphi Research Project

1. Present situation & future expectations of U.S. H. Ed. System:

Strengths:
- Access & opportunity for students
- Institutional & program diversity
- Superior intellectual & academic strength in prestigious institutions
- Mass credentialing at a time when society demands credentials
- Contribution of higher education to public welfare & culture

Weaknesses:
- Excess capacity in public system
- Political intrusion into higher education
- Governmental interference with campus & program autonomy
- Sacrificing quality for survival in many institutions
- Negative implications of over-educating a society & leveling

Challenges for future:
- Attempting to improve quality and access/opportunity
- Attaining mission differentiation among institutions
- Maintaining independence/autonomy while contributing to the economy
- Educating versus credentialing
- Responding to consumer needs while not compromising values

Present political agenda:
- Inability to close institutions & programs
- Interfering with trustee & CEO selection
- Maintaining or increasing accountability while not destroying autonomy
- States - shift from open-ended budget to foundation plus very little
- Feds - maintaining student access, basic research, & MIS
- Local - supporting community colleges

Future Issues:
- Responding to reality of overbuilding public higher education
- Proprietary sector - access v. politics v. quality
- Federal government desire to pullback because of budget deficit
- State governments overburdened with insufficient revenue

2. Specific Characteristics of higher education in the USA

    - Maximim student access and educational opportunity
    - Funding and institutional diversity
    - Wide bands of quality across programs and institutions
    - Undergraduate: from rote memory to critical thinking
    - Graduate: mentorship, research, & scholarship
    - Deep governmental involvement in public sector
    - From academic elitism to giveaway degrees in the private sector
    - Increasing program and institutional competitiveness

3. Federal government's role:

    - Agreed - role = student aid, research support, + MIS, also
    - Tendency toward stronger federal involvement? - definite no
    - Not realistic, given national politics + long-range fiscal problems
    - Best bet: stable student & research funding; continue MIS role

4. State government's role:

    a. Present development
        - Uneasy alliance: whether like it or not, partnership
        - Dynamic tension between these major actors: gov't + h. ed.
        - Each has stake in relationship & the outcomes
        - Structural arrangement for h. ed.: highly differentiated across states
        - Three major functions to h. ed. state agencies (whether gov. or coord.)
            - Budget mechanism in place
                - Enrollment-based aid formula (community colleges, esp.)
                - Function-object approach to funding (tends to be incremental)
                - Enrollment-related budgeting
                - Zero-based budgeting
            - Program review process in place
            - Planning/MIS function in place
        - Key questions regarding three major functions above
            - Authority of state agency
            - Budget + program: review v. recommendation?
            - Planning/MIS: any authority at all?

    b. Recommended roles:
        - Dual interests
        - Partnership
        - Neither side is unilateral in determining the relationship
        - Give and take
        - Mutual consent
        - Parameters are gov't intrusion v. complete campus autonomy
        - Note Berdahl's distinction between procedural & substantive autonomy (STATEWIDE COORDINATION OF HIGHER EDUCATION, 1971)

        Other key concerns in this state government-higher education relationship:

Roles of governor & state legislature
Governor: formal powers in budget, organization, appointment
Legislature: influence of key program & budget committees (staff)
However, dynamic tension is a permanent fixture!
Tension will never be eliminated - alleviated, perhaps.
Create enough checks & balances mechanisms on either side
Legislative: oversight function of selected committees
H Ed: advisory committees with active memberships
Example in Ill: faculty, student, staff, other?

c. Accountability mechanisms & efforts, by definition, will erode inst. autonomy, or they will be perceived as doing so.
Moves to increase autonomy will, virtually always, cause tension & conflict.
A structure needs to be put into place to identify these natural tensions, and provide for their resolution.
Additionally, key leaders need to be sensitive, willing, & proactive.
(See Newman's book on CHOOSING QUALITY, esp. aspiration, tradition, leadership, + the case studies)

5. Quality assessment:

Foremost, decide on the purpose for quality assessment.
Assessment for threshold performance is vastly different from assessment for either quality improvement or quality assurance. Both are valid.
In general, multiple indicators are better than any single indicator.
Student evaluations are important, but so, too, are peer/superior evaluations.
Additionally, evaluation can encompass productivity measures.
E.g. evaluation of a research professor should include assessment of his/her research and scholarly productivity.
evaluation of a teaching professor should include but not be limited to evaluations of teaching performance by students.

6. Accessibility of U.S. higher education

Are the most attractive institutions = to the most prestigious institutions?
The most prestigious institutions tend to be more expensive to the student, more productive in research and grantsmanship, and more selective.
Accessibility is greatest in community colleges and non-selective four-year colleges (both public and private).
Accessibility is least in highly selective private liberal arts colleges and in research universities (public and private)
In my view, the US higher educational system is highly accessible to virtually everyone who wishes to study there. Note, however, that selected academic programs anywhere and highly selective institutions tend to be quite INaccessible because of rigorous and demanding standards.

7. Institutional behavior:

a. The adaptability and responsiveness are localized in some programs and in some institutions. Hoewever, in general community colleges and innovative or experimental liberal arts colleges tend to be the most adaptive and responsive to change and to new ideas. Some academic programs and indeed some institutions are not adaptive and responsive at all. See Kerr, THE USES OF THE UNIVERSITY, new edition.

b-c. Issues et al. which contribute to adaptability and responsiveness:
  Whether or not the campus mission is to be creative and innovative.
    E.g. community colleges tend to be institutionally innovative, and research universities tend not to be institutionally or programmatically innovative. Research universities, however, may be highly supportive of innovation by professors who have funded research projects and strong scholarly records.
  Whether or not the institution is oriented to the student as consumer.
  Whether or not the institution is oriented to producing research and scholarship.
  The strength of an entrepreneurialship attitude on campus.
  The strength of the service mission on campus.

8. The role of the faculty:
  To create, produce, reproduce, & disseminate knowledge.
  The basic missions of the higher educational institution comes into focus, here: teaching, research, service. More accurately, teaching - undergraduate v. graduate; research - basic v. applied; service - internal v. external.
  Stimulating faculty: tie economic, academic, & symbolic rewards to that which is used to stimulate faculty and to the results of such efforts.

9. Institutional mission statements are used to define roles, relate roles to existing and anticipated environments, and serve to rally internal and external audiences around the mission(s). Mission set agendas as much as define roles.

10. The public sector:

"Most of the prestigious institutions are private." This statement, which is commonly heard, is misleading. Among liberal arts colleges, most of the prestigious colleges are private. Among research universities, there are both public and private institutions represented with a larger number of privates than publics.

One of the distinguishing features of American higher education is the combination of public and private institutions.

Under conditions of excess capacity, the entire national "system" of higher education would not suffer because of a reduction in the public sector. Under conditions of filled capacity, a reduction in the public sector might be associated either with increased demand in the private sector or with less student access and opportunity generally.

Present fiscal circumstances in the states lead me to believe that higher education is not going to be able to be supported at the level that it was in the past. As a result, higher education is becoming more stratified with some campuses being more successful at increasing revenue from non-tax sources. The future "quality difference" will be experienced more by these somewhat more prosperous campuses, while less prosperous campuses, generally unable to identify revenue-raising mechanisms and who must rely on traditional tax sources, will become ever more mediocre and less distinguished. A number of these "mediocre" campuses, in my judgment, should be closed and converted into other public purposes, such as prisons and retirement homes.

11. See enclosed vita.

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CLARK KERR
PRESIDENT EMERITUS

INSTITUTE OF INDUSTRIAL RELATIONS
BERKELEY, CALIFORNIA 94720
(415) 642-8106

June 18, 1990

TO: Olaf C. mc-Daniel

FROM: Clark Kerr

RE: Responses to Delphi research project interview questions

1. Strong aspects of the U.S. higher education system are:

    (1) universal access

    (2) great diversity among institutions and programs

    (3) excellence of training and research at highest levels

    (4) autonomy of individual institutions.

    Weak aspects are:

    (1) the low rate of transfer from two-year community colleges to four-year institutions

    (2) the decline of the importance of the Liberal Arts II (Carnegie Classification) institutions which have historically provided diversity in American higher education

    (3) very high number of increase in centralization of public institutions into systems--about half of all institutions are within centralized systems.

    Challenges are:

    (1) introduction of more underrepresented minorities into student bodies and faculties without too great a decrease in quality and funding of academic activity

    (2) the great need for more Ph.D.s to replace retiring faculty members to take care of small growth in student numbers

    (3) the replacement and renovation of physical plant, much of it built in the 1960s and early 1970s. These groups are organized around grievances of individual groups and appear to be inclined toward the quick use of violence (as here in Berkeley).

2. See the above comments.

3. The Federal government will continue general role of vision of student aid and particularly will be required to increase the amount of grants based on need. The Federal government will also be required to change its R&D program to put less emphasis on military programs and more on economic programs to offset R&D programs in the universities.

4. I rate the performance of the states overall very good but view the current trend toward centralization by the states as counterproductive.

5. I rate the best quality assessments as being:

   (1) which institutions attract the best students

   (2) which institutions attract the best R&D support in competition with one another. For Europe, I would say the same.

6. I rate accessibility to higher education overall as excellent.

   I believe the transfer rights could be improved in the U.S. significantly and in Europe on a massive basis.

7. a. Yes

   b. To have a combination of intense competition among institutions and several sources of funds for which they can compete

   c. The strongest innovative forces are: the changing student market, the changing research agenda and the entrepreneurial administrators. The most conservative force is the faculty.

8. The main role of faculty is to control academic programs.

   The most important measures in personnel policy are internal peer review and an active national market for high-level talent.

9. The role of institutional mission statements is two-fold: (1) to give members of the university community an opportunity to talk together about the future they would like to achieve; (2) to use for public relations purposes. Many, however, are so poorly developed and so self-serving that they are useless.

10. The most prestigious institutions are private among the Liberal Arts I colleges (Carnegie Classification) but not in other classifications. Among the leading research universities, about one-third are private and two-thirds are public.

    If public institutions were to be reduced or abolished, the result would be chaos.

    If the private institutions were to be reduced or abolished, deterioration would occur in the private sector but also the public.

11. My comments are based on experiences as Chancellor of the University of California, Berkeley, President of the University of California (system), Chairman of the Carnegie Commission on Higher Education and the Carnegie Council on Policy Studies in Higher Education, director of a series of studies on presidential leadership and governing boards for the Association of Governing Boards of Universities and Colleges, and Co-chair of the Education Commission of the States Task Force on State Policy and Independent Higher Education.

annex 2 list of questions, used as a basis for the interviews

1 **The present situation and future expectations of the US higher education system.**

What are the strong and weak aspects of the system, and what are the challenges for the future? What is on the present political agenda? What issues are expected to be important in the future?

2 **The specific characteristics of higher education in the USA.**

The literature identifies certain characteristics of h.e. in the USA. Broadly these are seen as:

- institutional autonomy;
- multiplicity of funding sources;
- diversity in all aspects;
- competition;
- great accessibility.

What do you see as the distinguishing characteristics of h.e. in the USA, compared, for instance, with the h.e. systems in Western Europe, and how do you view these characteristics?

3 **Federal government's role**

The role of the federal government in the USA is, regarding h.e, limited to the distribution of student grants and research funds. Is a tendency toward stronger involvement of the federal government to be expected in the future? What would be your judgement of such change in the role of the federal government?

4 **State government's role**

The States seem to be playing an increasingly important role especially in public h.e. institutions. The literature shows how the calls for accountability has grow over the last few years. The cause of this increased focus on accountability is the desire to defend State public spending to the tax-payer.

a What is your opinion of the present development of State government involvement in h.e. affairs?

b More generally speaking, how can the tension between the autonomy of the institutions on the one hand, and the request for accountability (often executed in an autonomy threatening way) on the other, lead to a system which offers both institutions and State a workable atmosphere?

c What specific requests and methods for accountability might there be, that do not erode the institutional autonomy, or cause mushrooming unproductive bureaucracy?

5 **Quality assessment**

An issue of growing importance in many Western-European countries is that of the quality assessment of teaching performance.

a What are your experiences with the various types of quality assessment in the USA (peer-review, accreditation, institutional self-assessment, qualitative and quantitative performance indicators, institutional rankings, etc.).

b Which methods would you recommend for further exploration in Europe and which methods would you advise against.

6 **Accessibility of higher education in the USA**

It is often stated that the US higher education system is accessible to everyone. From the European point of view, one could argue that the most attractive institutions (the most prestigious institutions) are extremely expensive and very selective.

What is your opinion of the accessibility of the US higher education system?

7 **Institutional behaviour**

A strong feature of the US higher education system, according to many writers is, the adaptability and responsiveness to new social demands.

a Would you agree with this statement?
b If so, what do you consider to be issues that contribute to that responsiveness?
c What are the innovative forces within the h.e. institutions, and what are the more conservative oriented forces?

8 **The role of faculty**

What is the role of faculty in higher education?
What measures, in terms of personnel policy, are effective in stimulating faculty?

9 **The institutional mission**

What is the role of institutional mission statements?

10 **The public sector**

Most of the prestigious institutions are private. Nonetheless the mixture of private and public institutions is a feature of American higher education. What would happen if the public sector were to be significantly reduced, or even abolished?

annex 3 publications in the series of studies related to the Delphi research project: "Policy Instruments for Higher Education in the Western-Europe of the Future".

01 The validity of the argument for the necessity of institutional autonomy in higher education. Contribution to the Blindernkonferansen in Oslo, August, 1990.

02 On the threshold of a new area in higher education policy in the Netherlands: the first step towards a consumer -oriented public higher education system. Contribution to the Blindernkonferansen in Oslo, August, 1990.

03 Towards a European Higher Education Policy? Possibilities and potentialities. Contribution to the 6th EARDHE Conference "Cross-cultural Dialogue and Development in Higher Education. Berlin 1-5, 1990.

04 Higher education policy in the Europe of the future. Towards an agenda for European higher education policy? Contribution to the EC-conference "Higher Education and 1992: Planning for the Year 2000". Siena (Italy), November 5, 1990.

05 Accreditation as an alternative scheme for the problem of recognition of higher education courses and degrees in Europe? Contribution to the NUFFIC seminar, Amsterdam December 1990.

06 Seventeen Authorities on U.S. Higher Education. Facts, analysis and future perspectives. Interview Summaries. Zoetermeer, Januari 1991.

07 Hoger onderwijs in de Verenigde Staten. Over mythes en werkelijkheid. Zoetermeer, januari 1991.

08 Fast forward with higher education in the United States? In search of the dynamics of higher education. First draft edition, Zoetermeer, Januari 1991.